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Factors Affecting Leadership Styles of Prison Wardens: A Case Study of Public Adult Prisons Within Virginia

Nancy Elizabeth Santiago
Old Dominion University

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FACTORS AFFECTING LEADERSHIP STYLES OF
PRISON WARDENS: A CASE-STUDY OF
PUBLIC ADULT PRISONS WITHIN VIRGINIA

by

NANCY ELIZABETH SANTIAGO

BACHELOR OF ARTS; 1983; University of Wisconsin - Eau Claire
MASTER OF ARTS; 1986; University of Missouri - Kansas City
MASTER OF PUBLIC ADMINISTRATION; 1987;
University of Missouri - Kansas City

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Reviewed by:

Approved by:

J. Taylor Sims, Dean
College of Business and
Public Administration

Roger Richman (Director)

William Leavitt (Member)

Wolfgang Bindur
Graduate Program Director

James Nolan (Member)

ABSTRACT

FACTORS AFFECTING LEADERSHIP STYLES OF PRISON WARDENS: A CASE-STUDY OF PUBLIC ADULT PRISONS WITHIN VIRGINIA.

Nancy Elizabeth Santiago
Old Dominion University, 1998
Director: Dr. Roger Richman

This study attempts to identify the leadership styles of Virginia prison wardens within public adult prisons, and to determine which factors contribute to the development of their leadership styles. The two instruments used in this study to assess leadership style were the Leadership Practices Inventory (LPI, which measures "transformational" leadership), and the Leader Behavior Analysis II Self (LBAII Self, which measures "transactional" leadership). Both instruments have been used in prior research with correctional personnel, and comparisons of this research study is made with previous dissertations utilizing the LPI and LBAII.

Also developed for this study was a set of questions containing the independent variables of gender, race, age, educational level, college major, career experiences, size of institution, location of institution, and security level of institution. The LPI, LBAII Self, and Demographic Survey were administered to all the prison wardens within Virginia (Total N = 46).

Results indicate that the majority of wardens (86.8%) prefer a "Highly Supportive" leadership style. The variables of race, education, and location of institution

are not statistically significant with either instrument. The variables gender, size of institution, and security level produce some significant differences in leadership style. Career experiences (categorized as previous experience in either "Security", "Treatment", "Management", or "Other") have weak correlations within the "Effectiveness" scores on the LBAIL Self. "Treatment" background produces a positive correlation; "Security" and "Management" background produce a negative correlation.

Statistical analysis indicates that the wardens scored above average on the LPI instrument in "Challenging the Process, Inspiring a Shared Vision, Enabling Others to Act, Modeling the Way, and Encouraging the Heart". Implications for future research are discussed, utilizing the information gathered on leadership style.

Co-Directors of Advisory Committee: Dr. William Leavitt

Dr. James Nolan

DEDICATION

This Dissertation is being dedicated to my sons:

Angel Valentino Santiago (1992)

Jesse Valentino Santiago (1995)

who were both born during the initial "idea" stage of my proposal.

I also dedicate this Dissertation to every child in the world, for they are our future. They must deal with the problems that we will not solve in our lifetime; the issues of overcrowding, rehabilitation, and prison management will be *their* issues to solve.

My dream is that within my lifetime, I can share my concern for improving the prison system with the children and teens preparing to enter our colleges and universities. Through my research and teaching experiences, I want to help children and adults realize that the criminal justice system impacts us all. It is not an issue that we can ignore.

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CHAPTER I

INTRODUCTION

Background

The prison population has rapidly increased within the past 10 years, an increase so rapid that in certain instances some prisoners receive early parole in order to make bed-space, and judges let some second-time offenders free on probation. "The Nation's correctional population jumped more than 2 1/2 times from 1980 through 1993...During 1993 approximately 2.6% of the U.S. population - 4.9 million adults - were on parole, on probation, or in jails or prisons..." (BJS, 1995). "1,585,400 persons were behind bars in the United States in 1995" (BJS, 1996).

Herson & Ballard (1990) state that the rapid rise in crime since 1945 "has led many Americans to fear crime as the most important domestic problem facing this country" (p.357). The fear of crime is especially prevalent in urban neighborhoods where excessive fear "breaks down trust among neighbors and turns residents inward rather than outward toward their community" (Wilson, 1975, cited in Herson & Ballard, 1990, p.85).

Inner cities and slum areas contain the most crime, leading some theorists to argue that "delinquency [crime] is a consequence of the social and economic inequalities built into the social structure...social structure theories tie delinquency [crime] rates to socioeconomic conditions and

cultural values" (Siegel & Senna, 1997, p.142). In this perspective crime is viewed as a "function of community level (and not individual-level) social forces operating in an urban environment" (Siegel & Senna, 1997, p.144).

Various attempts at reducing urban crime have been made, but the cost of crime prevention is high, and municipal budgets feel the impact of these costs. The most popular response to urban crime has been a "get tough" policy of sentencing offenders to longer prison sentences often without the possibility of parole. More criminals sentenced to prison has exacerbated problems such as overcrowding, increased violence, and the need for more effective prison management.

The issue of overcrowding in the prisons and jails, as well as the increased rate in recidivism and crime, has raised concern about the effectiveness of the criminal justice system and especially about the penal institutions and their operations. Taxpayers want to be informed of the cost of operating institutions and whether prisons are "successfully" rehabilitating inmates. While recognizing these issues, several sociologists have focused their attention on the *management style* of prisons, as researchers have recently refocused their attention on prisons as "organizations" – prone to many of the same types of problems and flaws as any other bureaucratic organization.

However, prisons (as well as a few other institutions,

such as psychiatric hospitals) face certain unique problems due to their chaotic and volatile environment. This unique environment will cause the management and leadership styles of wardens to differ from that of other organizational managers.

Due to the "isolation factor" of prisons as compared to most other organizations, many prison wardens tend to focus on the immediate "internal" environment of the prison, and the management of daily operations within a crisis-centered institution. "External" factors within the community however, cannot be ignored, as both the public community and the political arena exert strong influences on the correctional system.

Prison wardens must thus learn to "juggle" the internal and the external pressures of management; to handle daily crisis situations but also to maintain a constant and cooperative relationship with the outside community. This becomes a primary difference between the prison system and the private business sector. The prison warden as a manager must thus deal with very special characteristics of the prison population and staff.

The prison warden has to develop not only management skills but *leadership skills* as well. The warden must become a leader who can empower and motivate the staff, who creates a "purpose" and a "vision", a direction for all to strive in. The warden must become a leader that is both

effective and flexible, and that understands the goals or mission of the organization, and can operate the organization according to this mission.

Previous research on leaders and leadership attributed success in an organization to the primary leader or head of the organization. Recent research acknowledges that a successful organization relies not just on the leader, but on the *relationship* between the leader and everyone within the organization. To lead involves an active series of interrelationships, mutual cooperation, and a common mission or vision.

The "ingredients" of a successful and effective leader has also been researched within the business sector. Leaders are found in all walks of life, and from extremely varied backgrounds, lending even more mystery to the questions: "How do leaders emerge?" and "What makes a "good" leader?"

There exist several various types of leadership styles (analogous to various management styles). Generally, certain styles are linked more often to particular organizations, (ex: Military or Autocratic style), but variations do exist within every organization. Leaders are not born articulating a particular style; they develop a style over time—through experiences or preferences, through trial and error. Many factors have been explored regarding their influence on development of leadership style.

The prison system as an organization has been studied; however, the leadership styles of prison wardens has not received much attention compared to the private business sector. The prison environment is not isolated from the urban environment. Most inmates come from urban areas and will return there. Departments of correction compete with municipalities for scarce resources. Management issues within the prison system are affected by public policy issues (external environment) as well as leadership styles of wardens (internal environment).

This paper addresses the issue of how leadership styles develop in the prison warden.

Purpose of the Study

The purpose of this study is to perform a comparative analysis of leadership styles of prison wardens within the state of Virginia. The focus is on identifying specific types of leadership styles employed by Virginia wardens, as well as identification of specific factors influencing particular leadership styles. This dissertation will review the various types of leadership styles, and discuss the characteristics associated with each style. The research component will involve surveying prison wardens and superintendents of adult prisons in Virginia, using standardized instruments, in order to assess their method of leadership, and to identify which factors are associated

with specific leadership styles.

The conclusion of this study is to specify dominant leadership styles of Virginia prison wardens and to determine which selected factors significantly contribute to *how* wardens have developed their leadership style. The implications for future research in the study of leadership styles of prison wardens is also addressed.

Significance of the Study

The prison system endures constant scrutiny and criticism due to the high recidivism rate of released convicts. Correctional personnel are often blamed for insufficient treatment programs, violence within the system, and a lack of effective management skills. This paper views the prison system as unique from most other organizations – due to the changing population, the "chaotic" environment, and the interaction between staff, inmates, and environment.

Because the prison system differs from other organizations, wardens must develop a unique leadership style in order to lead effectively. Many factors influence an individual's style of management; demographic variables such as age, gender, race, and educational level influence how people interact with others and how they are perceived in positions of authority, power, and leadership. But do demographic variables in themselves have an effect on how leadership styles are formed?

By examining the types of leadership styles wardens develop, determining which factors have contributed to developing these styles, and identifying both the internal and external influences affecting the prison system, valuable insight can be gained regarding training and improvement for future prison wardens.

CHAPTER II

LITERATURE REVIEW

Introduction

This literature review will trace the history of leaders and leadership styles, and address the issue of developing one's leadership style. Organization and management of the prison system is discussed, and a comparative analysis of the prison system with the psychiatric hospital setting is provided. The two instruments used in this dissertation are discussed in the section "Leadership Practices Inventory & Leadership Behavior Analysis II" and concludes with a summary of leadership as it relates to the prison system and wardens in particular.

Overcrowding in the prison system has forced Americans to look for alternative methods for improving the criminal justice system; focusing on how prisons are managed is a recent but growing area of concern to public administrators. Prisons (as institutions) can be compared to psychiatric hospitals due to their similar environments. Both institutions operate under crisis environments, both have changing populations, both harbor "outcasts" of society; therefore, both operate in somewhat isolated fashion from other types of organizations.

Management of organizations within the private sector

has been studied, researched, analyzed, and reported on for decades. The study of leaders also has been studied, but originally in combination with the term "manager". In the 1970s, "managers" and "leaders" became separate terms, and "leadership style" developed out of this separation (in the 1980s) as a distinct concept from "management style".

The term "leadership style" made its progression through various types or theories of leadership, but throughout the past twenty years, the prison system has been analyzed in terms of *management style*, not leadership style. Only in the past decade has the "leadership style of prison wardens" been a topic of research: Dissertations by Gary Dennis (1995), Marie Mactavish (1993), and the book *Effective Prison Leadership* by Kevin Wright (1994) have been some of the few but significant contributions to the study of leadership in prison wardens.

Leaders/Leadership Styles

There exist many "myths" concerning leadership. Leaders are believed to be "magnetic" - with intensely devoted followers - they are "visionaries", with almost magical powers...they are "psychic", and able to foresee the future of their organization...they are almost mechanical or robot-like in their demeanor, able to prevent their feelings from interfering with their work. "Leadership myth says that leaders are 'charismatic', that they possess some

special gift" (Kouzes & Posner, 1987, p.xvi).

In essence, this almost sounds like "worshipping a hero", or "cultism". "But, a leader's dynamism does not come from special powers. It comes from a strong belief in a purpose and a willingness to express that conviction" (Kouzes & Posner, 1987, p.xvi).

Sociologist Max Weber studied the qualities possessed by leaders, specifically the "charisma" they possess. Weber noticed that charisma had a revolutionary nature...seeming "to emerge particularly in periods of uncertainty and unpredictably, times when psychic, physical, economic, ethical, religious, or political distress exists" (Kets de Vries, 1989, p.14).

Psychoanalyst Sigmund Freud also characterized leaders, concluding that"...The appeal of leaders is that at a more symbolic unconscious level they represent the return of the primal father with whom, like the father of early childhood, it is easy to identify". "Freud compared the development of the bond between leader and followers to the act of falling in love. The followers somehow turn into sleepwalkers intoxicated by the leader" (Kets de Vries, 1989, p. 24, 26). This "identification process" causes followers to be swept by their emotions - to follow the leader.

"The appearance of the word 'leader' [emerged] in the English language as early as the year 1300...'Leadership' did not appear until the first half of the nineteenth

century in writings about political influence and control of British Parliament" (Bass, 1981, p.7). The study of *leadership* began with a focus on "traits", and the belief that all leaders possessed certain traits or characteristics. "These characteristics were seen to be fixed, largely inborn, and applicable across situations" (Hollander & Offermann, 1990, p.179). Sir Francis Galton (1860) "...Believed that leader qualities were genetic characteristics of a family...these characteristics included "courage", and "wisdom", as well as gender, height, weight, and appearance" (Gibson & Marcoulides, 1995, p.177).

A popular belief until the 1930s was that leaders possess inherited traits and abilities; because of these beliefs, research focused on identifying this "hidden" leadership trait – concentrating on a leader's personality and endowments. These early trait theories however failed to include important variables such as situations or followers. After the 1930s however, research began focusing on the "behavior" of leaders – not just their personality traits.

It was the failure of these early efforts which ultimately resulted in a redefinition of leadership as a *relationship* between the leader, the followers, and the task/situational characteristics (Gibb, 1969, as cited in Schein, 1980, p.113).

In the late 1940s, the "situational approach" replaced the trait theory as the primary focus of leadership development. Emphasis was now placed on "the nature of the task or activity, its history, the availability of human and material resources, and the quality of leader-follower relations" (Hollander & Offermann, 1990, p.180).

Followers identify with their leaders, and project their ideas onto them; at the same time, they identify with each other. This mutual identification process with the leader and among the followers is what creates a group. It brings about a feeling of unity and belonging and makes for a sense of direction, purpose, and motivation" (Kets de Vries, 1989, p.173).

Kotter (1988) writes about how leadership research was purposely avoided in the 1950s and 60s..."Too much leadership, back then, could actually create problems by disrupting efficient routines. Sayings were even intended to signal that what was needed was stability and control, not bold new initiatives (e.g., "If it ain't broke, don't fix it") (p.11).

The "contingency" model was introduced in the 60s; "...Situational contingency models attempted to specify situational factors that made certain leader behaviors more effective" (Gibson & Marcoulides, 1995, p.179). "Initiated

by the Fiedler (1967) least preferred coworker (LPC) contingency model, followed by the Evans (1970) and House (1971) path-goal model, and the Vroom and Yetton (1973) normative model of leadership and decision making" (Hollander & Offermann, 1990, p.180).

The focus by the late 60s was now on "Leadership styles". "Leadership style refers to the degree of direction that the leader provides to subordinates in attempting to influence their behavior toward the accomplishment of organizational objectives" (Gibson & Marcoulides, 1995, p.179). The 80s began to focus specifically on "what makes followers follow", and an emphasis on cognitive explanations for follower-leader relationships. "Transformational leadership" became a common term, along with "...Organizational leadership by Bass (1985), Bennis and Nanus (1985), and Conger and Kanungo (1988)...Ideas of excellence, exemplified in the popular book by Peters and Waterman (1983)..." (Hollander & Offermann, 1990, p.182).

"Up until the past two decades, the terms *manager* and *leader* were used interchangeably. However, authors writing in the 1970s and 1980s distinguished managers from leaders" (Mactavish, 1993, p.8). "Managers plan activities, organize appropriate structures, and control resources" (Dennis, 1995, p.28). "Managers achieve results by directing the activities of others, whereas leaders create a vision and

inspire others to achieve the vision and to stretch themselves beyond their normal capabilities" (Dennis, 1995, p.28). "The primary role of a leader is to influence others to voluntarily seek defined objectives" (Dennis, 1995, p.28).

The distinction was now drawn between "Managers" and "Leaders". Managers: the word manage means "hand"... likewise managers "handle" things." Managers keep things stable, and in place. Leaders: the word lead means "to go"...likewise leaders are "those who 'go first'...they begin the quest for a new order." Leaders move forward. "Leaders get us going someplace" (Kouzes & Posner, 1987, p.32,33).

Kotter (1988) discusses how leadership and management are both needed in an organization. "Strong management tends to be 'tight'; with no leadership, it often becomes more and more bureaucratic over time, less and less original in its thinking, and overcontrolling" (p.23). However, too much leadership can lead to problems also, as Kotter states"...Strong leadership tends to be 'volatile'; with no management to control things and to provide reality checks, it can evolve into a certain Jim Jones or Hitlerian madness" (p.23,24).

This research study will focus on "leadership" as it exists within the prison environment. Although there is an abundance of material that has been published on "Leadership

styles of Managers", too few published studies have been done on "Leadership styles of prison wardens".

In regards to leadership in general, briefly there are "six major categories" in which to group leadership, according to Bensimon, Neumann & Birnbaum (1989). These six categories of theories are: "Trait, Power and Influence, Behavioral, Contingency, Cultural and Symbolic, and Cognitive" (p.7). Each theory emphasizes different "roles" or "structures" of an organization; each operates through differing "frames of reference" in which to view leadership.

Kouzes & Posner also make a distinction between two types of leaders: a transformational leader inspires "others to excel, giving individual consideration to others, and stimulating people to think in new ways. The transactional leader...tends to maintain a steady-state situation and generally gets performance from others by offering rewards" (1987, p.281). Transactional leaders are similar to traditional managers.

Situational leadership is similar to the *contingency theory* or environmental theory: "Under situational leadership, managers adapt their leadership and decision making styles to the situation, the time, and the people involved" (AMA, 1996, p.1). Hersey & Blanchard (1982) proposed a model for situational leadership, and one of the basic tenets of their model is: There is no single all-purpose leadership style. What is appropriate in each case

depends on the follower (or subordinate) and the task to be performed" (cited in Irgens, 1995, p.36).

Participative management is another style of leadership, meant to include employee participation in decision-making. Other research on successful leadership style has described leadership style as a "process"; a molding of "successful" behaviors which eventually result in a specific leadership style. The results from a 1993 survey by Kouzes & Posner identified the characteristics people look for in a leader: The four characteristics most often cited were: (a) Honesty, (b) Forward-looking, (c) Inspiring, (d) Competent (1993, p.14). Kouzes & Posner's research indicates that "people want leaders who are credible. We want to believe in our leaders...Credibility is the foundation of leadership" (p.22). They also state that "Leadership is a reciprocal relationship between those who choose to lead and those who decide to follow" (1993, p.1). Whether one manages a large, formal organization or a small family business, effective leadership skills can be utilized. "Leadership is found in those in the boiler room and those in the board room. It is not conferred by title or degree" (Kouzes & Posner, 1993, p.156).

Developing a Leadership Style

Much of the current literature on management and leadership style focuses on choosing a particular style or type. The type, size, location, and history of an organization strongly influence decisions of leadership type, but so does the personality, experience, background, and goals of the leader. The literature on management and leadership also addresses the issue of "effective leadership"; a manager utilizing style "A" in one organization may find that this style does not work in a different organization. Styles may need to be adapted and remain flexible both within and between organizations.

Mary Parker Follett believed that "effective leadership is not based on position or personality but on the ability to create functional unity in the organization" (Fry, 1989, p.112,113). "Leadership of function" requires the leader to educate and train workers to their highest potential; to define a purpose so all workers strive towards a common goal. Anticipating the "long-term good of the greater community and creating situations in which that good can be achieved" (Fry, 1989, p.113).

What factors influence the style of management or leadership an individual develops? Blake & Mouton (1978), in their book *The New Managerial Grid*, discuss the interaction between "People" and "Production" as it relates to management issues. The grid consists of two axes:

"Concern for People" (vertical), and "Concern for Production" (horizontal) - each range from 0-9. Managers who are minimally concerned with production and people (1,1) would be an "Impoverished Management" setting (p.11). A minimum concern for production and a maximum concern for people (1,9) would be a "Country Club Management" (p.11). "Team Management" consists of both high people and production concerns (9,9), whereas "Authority-Obedience" is high in production but low in people (9,1), (p.11). Numerous in-between combinations are possible - the most balanced combination being a 5,5.

Blake & Mouton also list various factors that influence the "style" (or area on the grid) that is chosen: the organization itself, the situation, the manager's personal values, the manager's personality, and chance (meaning some behaviors cannot be predicted by the grid); other factors may influence the style chosen. Managers also may shift their Grid styles, and possess both dominant and backup styles.

Tannenbaum & Schmidt (1958) discuss in their article "*How to Choose a Leadership Pattern*", the dilemma a leader faces in deciding what type of style to use within the organization. A wide continuum of behaviors is possible, from a "Boss-centered leadership" (with the focus on the manager) at one spectrum, and a "Subordinate-centered leadership" (with the focus on the staff) at the other end

(p. 96,98). Leaders may choose anywhere along this continuum for their leadership style.

Tannenbaum & Schmidt suggest however, that "forces" existing either in the "manager", the "subordinates", or the "situation" operate to determine which leadership style is chosen. Forces in the "manager" include one's own personality and "background, knowledge, and experience" (1958, p.98,99). Forces in the "subordinate" include their personalities and their expectations. Forces in the "situation" involve the "organization, the work group, the nature of the problem, and the pressures of time" (Tannenbaum & Schmidt, 1958, p.100).

A successful leader will be aware of all of these forces, and learn to maintain control over most of them. The point on the continuum that the leader chooses for his or her leadership style thus depends on the forces just described, and what the leader seeks to accomplish.

Argyris (1976) discusses the interaction between the "technical" and "interpersonal" theories found in every profession. These two theories can be plotted along two axis: "Technical" competences (vertical) vs. "Interpersonal" competences (horizontal). Each range from 0-9. Organizational problems may require numerous combinations of "low" to "high" competences along each axis. It is up to the leader to decide how much "technical" vs. "interpersonal" competence is required for various problems

and situations.

How does a leader know which leadership style is best? Blanchard, Zigarmi, & Zigarmi (1985) say "It depends on the situation". Their book *Leadership and the One Minute Manager* examines four leadership styles and summarizes the appropriateness of each style:

Directing is for people who lack competence but are enthusiastic and committed...*Coaching* is for people who have some competence but lack commitment [inexperienced]...*Supporting* is for people who have competence but lack confidence or motivation...*Delegating* is for people who have both competence and commitment (p.57).

"Your goal as a manager should be to gradually increase the competence and confidence of your people so that you can begin to use less time-consuming styles - *supporting* and *delegating* - and still get high-quality results (Blanchard et al., 1985, p.67). A leadership style thus is constantly in flux, changing, emerging. Leadership should not be a fixed, permanent position; leadership thus can be defined as a "relationship between the leader and the situation..." (McGregor, 1985, p.185). Leadership is a relationship, and this relationship involves the leader, the followers, the organization, and the "social, economic, and political milieu" (McGregor, 1985, p.182).

Because a relationship exists between these four variables, adoption of a "single leadership 'style' yields poorer results than encouraging [leaders] to create the essential condition *in their individual ways* and with due regard for their own particular situations" (McGregor, 1985, p.184).

Prison Organization and Management

Kouzes & Posner (cited in Wright, 1994), state that effective organizations share the qualities of: "(1) clarity about what the organization stands for, (2) consensus among members about those values, and (3) intensity about the importance of the values" (p.33). Organizations can be classified according to "type of power or authority used...prisons and correctional institutions [fall under the category of] predominantly *coercive*, nonlegitimate authority" (Schein, 1980, p.45). *Utilitarian* power would include most businesses and industries. *Normative* power occurs in organizations such as churches, hospitals, schools, universities.

If prisons are operating under coercive power, this needs to be recognized when analyzing the management techniques of prison wardens. Coercive power is one main difference in the organization and structure of prisons versus public businesses. There are two other ways however, in which "prisons seem to differ significantly from

factories and similar organizations" (Cressey, cited in Cloward, 1960, p.78). Factories have "separate hierarchies of management personnel and of workers", and concern is with how these roles interrelate and how they affect production (Cressey, cited in Cloward, 1960, p.78). Prisons, on the other hand, have low status employees in the prison (correctional officers) as both "managers" of the inmates, but also as "workers" in terms of the administrative hierarchy.

The issue of addressing hierarchies in prisons is important, for they relate to management and organization within the institution. Prisons traditionally have had pyramid shaped hierarchies, with strong vertical lines and less distinct horizontal lines. When power is thus controlled from the top of a structure, workers within feel alienated and powerless. Communication thus tends to be inefficient, as information from the bottom of the organization may not flow upward, or flows very slowly upward, and information at the top of the organization may be distorted by the time it flows downward. "In prisons structured hierarchically, people know their roles and their responsibilities. Little is left to chance. Everything is by the book. Decision-making tends to be uniform and consistent" (Wright, 1994, p.10).

Prisons that are highly structured require managers that "constantly audit, police, and enforce policy.

Adherence to procedure is rewarded, while dereliction of duty or independent action is punished" (Wright, 1994, p.10). Autocratic managing is very rigid, and when staff are alienated they eventually deteriorate in performance.

It is obvious that too much power, control, and bureaucracy can be damaging to an organization. There exists a difference between the desire to "lead" and the desire to "control". An effective leader does not desire to "control" or manipulate his or her subordinates. An effective leader also is aware of the effects of excess bureaucracy, and how it can tear down an organization.

John DiIulio has studied and written about several correctional systems, focusing on the effects of management style within the prison setting. DiIulio (cited in McDonald, 1990), believes that the quality of management strongly influences penal life, and states: "Through more caring and more intelligent institutional management, prisons and jails can be improved even when budgets are tight, facilities are dilapidated, and inmate populations are large and dangerous" (p.170).

DiIulio (1989) studied prison management styles for three years in Texas, Michigan, and California, and concluded that the "quality of prison life depended mainly on the quality of prison management" (p.129). The variables of individual violence, "group", or collective violence, clean cells, adequate food, work, and educational

opportunities did not directly vary with other factors such as "better" inmates, lower crowding, low staff/inmate ratios, efficient officer training, and modern equipment.

DiIulio cites the Federal Bureau of Prisons as an example of a well-run prison management system recognized nationwide. DiIulio points out that this "success" is believed by many to result from an "easier population" of criminals and a high expenditure rate. DiIulio evaluates these claims as false. In 1991, 61% of the federal prison population was incarcerated for violent offenses (BJS, 1994, p.iii). Inmate expenditure by the Federal Bureau of Prisons is comparable to the national average. Furthermore, DiIulio argues, the Federal Bureau experiences overcrowding and understaffing – like most other prisons in this country.

DiIulio credits the management style of the Bureau as the stabilizing factor responsible for its success. One of the factors DiIulio lists that contributes to the Bureau's success is the "stable and talented executive leadership, a progressive inmate classification system, and a positive closely-knit organizational culture" (1989, p.130). DiIulio concludes his research on prison management stating that "in short, how prisons are managed may increase or decrease the probability of an inmate living out his term in a safe, lawful environment" (1989, p.130).

Management styles or techniques often reflect what a manager personally feels about working with people; ie; a

"philosophy" about relationships, working together, getting along, etc. Schein (1965) identifies four viewpoints concerning man which are seen in corrections.

- . Man is "*rational or economic* in nature, primarily motivated by materialistic rewards"...Management techniques required are "incentives and controls..." (Usually found in large institutions).
- . Man is "social, primarily motivated by his need for meaningful relationship with others..." "management techniques required are "a concern for his feelings and/or a structuring of work..." (Small/community-based institutions).
- . Man is "potentially *self-actualizing*". Management techniques are to emphasize the use of "their energies in creative and productive ways". (Experimental programs or probation/parole).
- . Man as "complex and...highly varied in his responses to different situations". Management techniques require "develop[ing] diagnostic skills and wide flexibility in meeting the needs...under constantly changing circumstances". (Can be any type of institution, but depends on the philosophy of the managers).

(Cited in Nelson & Lovell, 1969, p.9).

To further complicate the situation, "managerial relationships" will occur between both administrator - staff and between administrator - inmate (and these relationships often fall into two different categories of those cited above.

Can the management of the prison system be compared to

private sector management, and in what ways do prisons and private organizations differ? Dennis, (1995) states: "The unique organizational nature of the prison as a punishment centered bureaucracy, where classical management styles have predominated among wardens, clearly sets it apart from private sector organizations" (p.56). "Managers in the private sector have had a professional identity grounded in a growing body of literature in the fields of sociology, organization theory, organizational behavior, applied psychology, and industrial psychology" (Dennis, 1995, p.18).

The correctional field however has a distinct disadvantage when it comes to research on management techniques or styles. In terms of research, the prison environment has virtually been bypassed in favor of more prosperous, private businesses. An important factor however, in both private sector and prison businesses, is that both must effectively serve a clientele in order to be successful. In the prison system, wardens must deal with both the external environment (taxpayer) as a customer, and also with the internal environment (inmate) as a customer. A very different set of clientele, but both are "customers".

In essence, although private businesses and prisons differ in the *services* they are providing, both are quite similar with respect to the basic structure of an organization – supervisors managing employees, and managing their organization in order to serve the needs of the

customer or client. Dennis (1995) states: "The warden of an average size correctional institution has responsibilities equal to that of the chief executive officer (CEO) of a small corporation" (p.1).

How should prisons be managed? Kevin Wright (1994), argues that correctional institutions should be managed with the same quality of expectations that other organizations and companies demand. High standards should be the goal of any institution, and "after an institution sets a standard, then it must be someone's responsibility to see that expectations are met" (p.18).

Managing a particular prison may vary in accordance with the security level, the size, the location (urban or rural), and the types of inmates housed (age and sex). However, the basic attributes of "safety, humaneness, and productivity" should be present in every penal institution (Wright, 1994, p.19).

There have not been any significant findings regarding whether location of institution (rural or urban) has any impact on management practices. Prisons were originally built to isolate the inmates, thus prisons were usually built in rural areas. Today, this trend still exists, as most prisons are built in rural areas. The cost of land is one major factor today, but also prevalent is an attitude known as "NIMBY Syndrome (Not In My Backyard)" (Clear & Cole, 1994, p.246). No one desires a prison in his or her

immediate community, thus limiting construction to the rural areas of a state.

In Standards for Adult Correctional Institutions, (1990), the standard for location of a facility states: "The institution is located within 50 miles of a civilian population center of at least 10,000 people, or minimally within one hour's driving time of a hospital, fire protection, and public transportation (New construction only)" (3-4127, p.42). For the purposes of this study, urban vs. rural location will not be examined, as most of the prisons in Virginia are built in rural areas, but within 50 miles of a city of at least 10,000 people.

What are the management styles that are routinely associated with prisons? "Management by Objectives", adopted by administrators in the 70s, stressed "effective goal setting and creating a system of accountability by which one's performance can be measured over time" (Champion, 1990, p.205). Problems with this method became apparent when trying to compare prisons that varied in both size and function however.

Another popular "management style" that became associated specifically with the prison environment was "the management style advocated by Peters and Austin (*"A Passion for Excellence—The Leadership Difference"*, by Tom Peters and Nancy Austin.) That style is 'managing by walking around' (MBWA)" (H. Christian DeBruyn, 1989, p.196). The

premise was that by getting "involved" within the prison environment, correctional managers would be better able to communicate with and oversee both staff and inmates.

Rensis Likert "posited four approaches to management, each with specified consequences for the motivation of participants, their job satisfaction, communication, decision making, production, and other variables" (Allen & Simonsen, 1995, p.518).

The "traditional prison with its dependence on coercive uses of authority" is:

Type 1: "Explosive – authoritative".

Type 2 is described as: **"Benevolent – authoritative"**, and is considered the "general pattern in corrections" (state run facilities.)

Type 3: "Participative – consultative", and **Type 4: "Participative – group"**, both utilize a "limited democratization of the management process."

(Allen & Simonsen, 1995,p.518–519).

Goals of prisons are complex. Not only are inmates to be rehabilitated, they are to be punished. Introducing "participative methods into programs that are oriented toward the goals of revenge and restraint requires great sensitivity to the forces at work in the organization and in its environment" (Allen & Simonsen, 1995, p.519). To try to "democratize correctional organizations not only tend[s] to be dangerous but are usually also destined to fail" (Allen & Simonsen, 1995, p.519).

Barak – Glantz (1986) also describe "four prison

management styles:

1. The Authoritarian model
 2. The Bureaucratic-lawful model
 3. The Shared-powers model
 4. The inmate control model"
- (Champion, 1990, p. 311).

Similar to Likerts' approaches, these four management styles range from very restrictive to least restrictive in power and control (authoritarian to inmate control model). Management styles, or "modes of leadership", differ greatly from organization to organization, and from manager to manager. Leadership style, as a product of an individual's personality characteristics, has been studied from both psychological perspectives and from business and administration theories of management. Leadership, in essence, could be labeled "the reverse side of motivation...Whereas the analysis of motivation and human nature [focuses]...on followers...." (Schein, 1989, p.104). Leadership discusses how leaders handle "followers".

In 1990, a national survey on correctional management was conducted on prisons, jails, juvenile institutions, and private institutions (Robert Presley Institute for Correctional Research and Training). Two of the 50 states (New York and Virginia) chose not to participate in certain aspects of the research, therefore they were excluded from the survey results. Of the 48 states participating, numerous questions were asked regarding Management Styles, Employee and Inmate Issues, and Decision-making.

Of the 276 prison wardens returning surveys, the following results were obtained as reported by McShane, Williams, & Shichor (1990):

- Prison wardens identified "operations and programmatic items as generally important to their personal management styles". Highest - personnel relations; Lowest - public relations. This would indicate that "Wardens are more concerned with the operating environment within their institutions than with external conditions" (p.6).
- Prison wardens indicated they "spend most of their time on internal programmatic and people issues" and very little time in "meetings with those external to the institution" (p.7).
- 96% of prison wardens "walked the facility on a regular basis" as a management tool; 94% used an "open door policy" (p.8).
- 93% of prison wardens indicated that "budget limitations" affected their management style; 81% named "quality of staff" (p.10).
- Prison wardens indicated that daily decision making mainly relied upon their "personal past experience" and "written departmental policies", suggesting "that most wardens make daily decisions based on their own experience and the advice and counsel of those in their unit" (p.11).
- Prison wardens felt "prison overcrowding" was moderately high in influencing current management practices, followed by "court decisions, state budget pressures, and legislative decisions". The least influential were "findings from correctional research" and "media attention" (p.11).

Some significant findings were also revealed in this study regarding *type* of institution (size and security

level). Results indicated:

- "Wardens of maximum custody adult institutions were less likely to maintain an open door policy, less likely to walk the facility, and less likely to solicit input for policy decisions" (p.12).
- "Wardens of larger prisons spent less time on individual inmate issues, spent more time in meetings, and tended to rely more on past experience in making daily decisions"...they "were less concerned with routine daily operations and more concerned with competition for limited resources" (p.12,13).

In summary, this national study revealed a noticeable generality among prison wardens regardless of size or security level: that wardens focused on internal factors within the prison, and not on external factors. "They saw the most important factors as those that impinged directly on the day-to-day management of their facilities. Conversely, outside factors and more general policy factors were de-emphasized" (McShane et al., 1990, p.14).

Studying the management and leadership practices of wardens is important for improving the performance of the administrative level, but what effect do management and leadership practices have on the internal environment of the prison?

Duffee (1980), remarks in his book *"Correctional Management: Change & control in correctional organizations"*, the "remarkable slowness with which management has been recognized as influencing the behavior of offenders, and

hence the quality of correctional organization performance" (p.9). Prisons, as organizations, can be compared to school systems. Blaming only the students when their performance is poor is short-sighted and naive. We now recognize that a combination of administrative practices, teacher organization and ability, as well as educational materials all contribute to the success or failure of students.

In the prison system, the combination of officers, personnel, policy, and procedure all interact to produce a positive or negative environment; inmates alone do not create an unstable prison environment. "Style [management] can be defined as the way in which the administrator attempts to steer his or her organization toward its goals" (Duffee, 1980, p.111).

Effective prison leadership and management can also serve to save lives, both of the staff and inmates. Numerous studies have linked poor management practices to increased inmate dissatisfaction, prison violence, and prison riots. The most comprehensive research in the area of prison riots has been conducted by Bert Useem and Peter Kimball. Useem & Kimball (1989) in their book "*States of Siege*", state that all the riots they studied could be traced to a previous "breakdown in administrative control and operation of the prison" (p.218).

They further state that:

Elements of this breakdown included scandals; escapes; inconsistent and incoherent rules for inmates and guards; fragmentation, multiplication of levels, and instability within the correctional chain of command; weak administrators, often "outsiders" to the system; conflict between administration and guards...and the disruption of everyday routines for eating, work, and recreation" (p.219).

Therefore, it becomes of utmost importance for a prison warden to perfect his/her management techniques and leadership styles in order to preserve the delicate balance of the internal prison structure. Leadership is essential when there are crisis situations (wars, riots, protests, etc.,) and thus leadership is very necessary within the prison environment. "The warden provides the leadership and vision which shapes the character of the organizational culture for both staff and inmates" (Dennis, 1995, p.3). "Due to the closed nature of the environment, a prison is more likely to mirror the personality of the warden" (Dennis, 1995, p.67).

Mactavish (1992) published an article titled: "*Are You an STJ? Examining Correctional Managers' Leadership Styles*". Mactavish, who designs training programs for corrections and criminal justice agencies, identified the

Myers-Briggs Type Indicator (MBTI) of "283 Managers from jails, prisons and community corrections" (p.162).

Essentially, the MBTI is a personality test that determines whether an individual is "extroverted" or "introverted", a "sensory" or "intuitive" type person; a "thinker" or "feeler"; and a "judger" or "perceiver". "The [MBTI] test was made available for public use in 1975" (Mactavish, p.164). The results of this study done by the National Institute of Corrections' Correctional Leadership Development Program found that: 23% of correctional managers were ISTJ (Introverted, Sensing, Thinking, Judging), which resulted in analytical managers who liked facts and details; 22% of correctional managers were ESTJ (Extroverted, Sensing, Thinking, Judging), which resulted in factual-minded, and practical organizers. In the general population, only 6% of individuals are ISTJ's, and only 13% are ESTJ's (Keirsey & Bates, 1984, p.188,189). 45% of all correctional managers were therefore STJ's, and these 45% fell into the two quadrants of ISTJ and ESTJ (compared with only 19% of the general population comprising ISTJ and ESTJ).

Mactavish summarizes the results as follows concerning correctional managers: "82% preferred thinking over feeling in their decision-making". (These were managers who enjoyed analysis, logic, and remained "personally detached from decisions", and could be "critical of employees' behavior").

74% preferred judgement over perception. (These managers planned, made schedules, settled things quickly, made decisions, completed tasks). 61% preferred using their senses over their intuition. (These managers preferred facts, routines, utilizing existing skills, and were more resistant to change) (p.165).

What can an "STJ" contribute to the correctional field? Mactavish states that "STJ's have much to offer as correctional managers because they are practical, good with facts, analytical, logical, objective and enjoy making decisions" (1992, p.166). STJ's thus are adept at maintaining the traditional, hierarchical structure of a correctional organization. A weakness is that "they [STJ] may become preoccupied with today's mission and forget to develop a vision for the future" (p.166). Also, they may lack in interpersonal skills, and have trouble "delegating authority".

Research (such as this study) on personality typing and leadership styles is essential, particularly from a management perspective. It contributes greatly to our knowledge and understanding of *why* some individuals are more successful than others in directing and leading organizations.

What are the characteristics of a "typical" prison warden? According to a 1988 Survey (Eastern Kentucky University), the typical correctional administrator is:

"white, male, 45, earns approximately \$42,000 per year, has almost 17 years of correctional experience, over 85% have a college degree, 44% have a Master's degree, 54% entered from a security background, 46% entered from a treatment background" (McShane et al., 1990, p.12).

A dissertation by Shannon (1986) examined the profile of correctional executives to determine their "career patterns, experience, education and training" prior to reaching their top positions. He obtained data from executives "occupying the top administrative positions in each of the fifty states" (p.8). Shannon requested resumes from each of his respondents, as well as information on their educational, training, and work background.

Shannon reported that "65 out of 81 correctional executives from 45 states responded to the survey" (p.131). Of the 65 responding, results indicated that: "All 65 (100%), were University graduates, 72.3% had one or more advanced degree(s), 45.5% had degrees in social sciences, only 1/10th had degrees in criminal justice" (1986, p.133,143).

The following percentages were obtained regarding the number of respondents who had served in particular positions prior to reaching a top executive position: "Custodial - 10.8%; Probation/parole - 10.8%; Treatment - 24.8%; Administrative - 43.1%; Management - 67.7%" (Shannon, 1986, p.138). Shannon concludes by describing a "typical"

correctional executive as: "white, male, 42, a college graduate, a Master's degree in Social Sciences, and 8 1/2 years corrections experience" (1986,p.154).

What then, are some varying factors which might operate to influence a prison warden's "correctional orientation?" Two separate models were proposed by Cullen, et al., (1989); (cited in Cullen, 1993):

The *individual experiences-importation* model [which] suggests that reactions to work are the result of the different types of experiences brought to the job by people drawn from different social statuses (e.g., race, education).

The *work role-prisonization* model hypothesis that reactions are shaped predominantly by the organizational conditions of prisons and the nature of the work role and are similar regardless of individuals' status characteristics (p.75).

Cullen (et al., 1993) describes a 1989 national survey administered to 512 state and federal prisons. The study aimed to measure various characteristics such as race, education, years working in corrections, tenure, military experience, correctional officer background and/or treatment background, etc. Results of the study indicated:

- . non-white wardens placed more emphasis on rehabilitation and custody
- . educated wardens were more likely to believe that inmates are amenable to treatment
- . the greater the number of years in corrections and the time at current institution - the higher the support for treatment and custody
- . military experience was unrelated
- . wardens with correctional officer backgrounds tended to place more emphasis on rehabilitation
- . wardens with correctional treatment backgrounds tended to place less emphasis on custody
- . the higher the number of inmates housed, the support for rehabilitation lessened (p.83).

Studies like Cullen can help to improve prison management by identifying the variables that contribute to more effective management techniques and to more satisfied staff and inmates. Research correlating education and management style found "managers with average amounts of education tended to be rule-oriented", while the extreme ends (low and high education) were less rule-oriented (Esser & Strother, (1962) as cited in Bass, 1981, p.145). England (1967) found that "college majors in humanities, fine arts, and social sciences stressed the importance of productivity and efficiency as organizational goals" (cited in Bass,

1981, p.145).

The "internal" environment of the prison however, is not the only element that affects a warden's leadership style. Managers primarily focus on the internal environment, the structure of the organization. Leaders focus not only on internal factors but "external" factors as well.

Nelson & Lovell's research (1969) found that correctional executives maintained little contact with outside groups such as: "law enforcement agencies, the mass media, academia...", etc., perhaps suggesting that "administrators feel a disparity between the needed capacity for dealing with such groups..." or, "administrators do not feel comfortable with the conflicting demands of such groups..." or, "administrators do not consider them important" (p.35).

Mactavish (1997) states that correctional leaders must participate and interact in two significant areas: "Politics and the media...One of the key contributions to a leader's success is the ability to deal with those in the external environment whose cooperation and support are important and sometimes crucial" (p.70).

The following points should be addressed when discussing prison leadership: Prisons basically operate under *coercive power*; this separates them from virtually most other existing organizations. Prisons operate as

isolated systems, due to their emphasis on security and their population of societal outcasts; however, prison wardens cannot ignore the *external forces* that influence the prison culture, specifically the media and the political arena. The hierarchy of the prison system emphasizes *vertical* associations more so than horizontal; this results in the lower-level employees having increased power in management roles (all employees control and manage the inmates). Prison wardens tend to focus on daily crisis situations, in order to prevent riots and violence. Problems not entering into this "crisis threshold" may therefore not be addressed.

Psychiatric Hospitals and Prisons

Mental health organizations (psychiatric hospitals) and prisons both are organizations that endure a great deal of crisis. The psychiatric hospital and prison are also alike in that both are constantly influx (changing environments), because the population within the system is constantly changing: (patients admitted and discharged, inmates sentenced and paroled/executed).

Both psychiatric hospitals and prisons deal with "outcasts" of society; those persons with which society would rather lock up and forget about since they have proven to be non-productive members of our environment. Consequently, both organizations develop staff members which

tend to operate in isolation of the outside world. Both deal with a population which has been stripped of the majority of its rights, virtually all of its privileges, and its privacy.

Both institutions, due to their locked premises and isolated existence, operate and function as communities "independent" of society as a whole. In both environments, the population become "institutionalized" in the sense that they internalize the roles, functions, and goals of the group once inside. If adaptation to the group "norms" is not achieved, the only other choice is alienation and isolation.

Prisoners are released when they have served their sentence, and it is reasonable they will not engage in further criminal *behavior*. Patients are discharged from hospitals when they are able to "conform" to society's standards, and it is reasonable to conclude they will not engage in further deviant *behavior*. Psychiatric hospital administrators may disagree about whether to emphasize "custodial" or "therapeutic" treatment; whereas prison administrators juggle issues of "punitive" or "rehabilitative".

Both prisons and mental hospitals thus have very similar cultures due to their populations, their isolation from society, the services they provide. Both institutions have complex "cultures", which are a strong component of

their organizational structure. Culture formation can be defined as "The shared patterns of thought, belief, feelings, and values that result from shared experience and common learning..." (Schein, 1985, p.50). Some of the problems or issues to be faced in developing a culture include the establishment of a common language...group boundaries...power and status...rules for peer relationships...rewards and punishments.

The history of mental hospitals also reveals many of the same progressions, confusion, and stereotypes as the prison environment. Environments affect the people who function within them; this concept was recognized in Paris, France, in 1792 by Dr. Philippe Pinel. By removing inmates in insane asylums from their "chains and shackles", he noticed their violence stopped. Pinel discovered that the "normal reactions of men to the situation of being restrained or tied up are fear, anger, and an attempt to escape (Moos & Smail, (in Moos), 1974, p.3).

History again brings to light another example of a "healthy" environment positively affecting those within it: "In 1806 the Quaker William Tuke established the York Retreat in England, emphasizing an atmosphere of kindness and consideration, meaningful employment of time, regular exercise, a family environment, and the treatment of patients as guests" (Moos, 1974, p.4).

The eighteenth and early nineteenth centuries focused

on "moral treatment" in its philosophy on psychiatric treatment..."physical violence and restraint were deemphasized. Moral treatment implied that the creation of a healthy psychological environment for the individual patient was itself curative" (Moos, 1974, p.5). "The late nineteenth and early twentieth centuries witnessed a general retreat from the principles of social treatment...to a reliance on organic and physical treatments" (Moos, 1974, p.5).

The modern-day approach focuses on the "psychosocial environment of psychiatric wards...[with] yet another reevaluation of the traditional disease model and its assumption that psychological disturbance resides in the individual alone" (Moos, 1974, p.5). Today, most mental hospitals have shifted in their philosophy from "custody and protection...to socialization and therapy" (Jackson, cited in Wesson et al., 1960, p.44).

LeBar states that one way to view mental hospitals is:

...As a cultural subsystem expressing in the behavior of its members a way of life - a unique configuration of values, symbols, and patterned relationships, which perpetuates itself, so to speak, through the acquisition of learned behavior by new members entering into the group
(cited in Wesson et al., 1964, p.5).

Many long-term mental patients typically display a "hospital career pattern...this pattern involve[s] a progression through a fairly uniform series of ward transfers punctuated by periodic furloughs, discharges, and readmissions" (LeBar, cited in Wesson et al., 1964, p.6). LeBar (1964) studied patients in a Veteran's Administration neuropsychiatric hospital. In his observation of patients on the locked ward, he notes that:

Degree of contact, degree of sociability, hallucinatory behavior, assaultiveness, untidiness, seclusiveness - these rather than education, diagnostic label, or occupation were the factors on the basis of which role stereotypes were formed and patients assigned a place in the social structure" (cited in Wesson et al., 1964, p.8).

LeBar also distinguished between three groups of patients based on their socialization level: "social, asocial, isolate...

Social: ...included the Ward Boss, Clique Members, Game Players, Traders, Cigarette Bummers.

Asocial: ...Reader, Writers, Ward Workers.

Isolate: ...Sitters, Floor Standers, Window Watchers".
(cited in Wesson et al., 1964, p.8,9).

All three categories contributed in some fashion to the environmental structure of the hospital ward; even the isolates contributed..."in the sense that they constituted recognized, predictable aspects of the environment to which some kind of adjustment had to be made - by attendants and patients alike"...this "adjustment" was mainly "avoidance...or mutual withdrawal" (LeBar, cited in Wesson et al., 1964, p.10).

Patients, like prison inmates, establish territoriality; hanging out in the same corner, couch, etc. An advantage (administratively) to this is that it is easier for hospital attendants and prison guards to learn names, faces, and to note within the glance of an eye who is where (or "out of place"). LeBar also noted that "Patients who occupied a common area within the dayroom tended to share similar behavior traits..."active hallucinates" stayed together, the "withdrawn", the "poor contactors", etc., (cited in Wesson et al., 1964, p.11,12).

In prisons also, "same-type offenders" tend to group together. The main categories are: Sex-offenders (who are usually social outcasts - especially child-molesters), drug-offenders, and violent-offenders. The territoriality of patients and inmates and the grouping of patients and inmates by type of personality or offense tends to determine what type of relationship they will have with the staff. These various "social groups" respond to rules and

regulations in varying ways; consequently, they are treated differently by the staff.

"Helpful" patients/inmates are allowed more "rights"; boundaries for "bending the rules" are larger - more elastic. Troublesome or argumentative patients/inmates are kept on a "tighter rein"; they also receive the least amount of positive attention from staff. This environmental or social milieu has an effect on staff behavior, staff performance, and consequently on management techniques.

Henry studied "Space and Power on a Psychiatric Unit", and concluded "...The patients divided themselves into two different cultures [insiders and outsiders] in terms of the architecture of the ward..." (cited in Wesson et al., 1964, p.24). Henry then notes that "the employees appear to reinforce and to follow the norms of the patient culture" (cited in Wesson et al, 1964, p.25). He attributed this to "the fact that the employees shared the attitude of the patients. There was thus formed a kind of patient - personnel conspiracy to reproduce and reinforce on the ward the mirror image of the culture of the outer world" (cited in Wesson et al., 1964, p.25).

Moos (1974) reports that the *roles* that the individual staff fill (treatment vs. security vs. custodial vs. administrative) affect the level of authoritarianism and restrictiveness displayed toward patients in a mental hospital. Cohen & Struening (1963) profiled 19 various

occupational groups on their opinions regarding mental illness within the hospital setting.

The results of this study revealed that:

Activity therapists, physicians, and nurses were low on authoritarianism; that aids were high on authoritarianism and social restrictiveness and low on benevolence; and that psychologists and social workers were very low on authoritarianism and social restrictiveness and high on mental hygiene ideology and interpersonal etiology (p.294).

Henry suggests "that unsophisticated and perhaps overworked personnel will tend to foster patient cultures that contribute to their own security and to job ease" (cited in Wesson et al., 1964, p.26). "...Nurses spent the least time with the patients...[although] nurses outnumbered attendants in the morning and were about equal to them in number in the afternoon-evening shift" (Henry, cited in Wesson et al., 1964, p.28,29).

In prisons, prison guards tend to spend the most time with inmates...like the attendants, they are there for control and security, and to oversee daily functions. Counselors (like the nurses in the psychiatric hospitals), are the main core of the treatment staff, yet have less daily contact with the inmates. In both prisons and

psychiatric hospitals, there is an emphasis on the rehabilitative or therapeutic environment; the social structure of either institution consists of complex interactions between staff and the inmates or patients. Thus, the staff, including their roles, actions, functions, and personalities all contribute to the success or failure of rehabilitation or therapy.

How does management of this type of environment affect the patients or inmates? Management of the psychiatric setting is important for healthy functioning of the patients. Studies on psychiatric wards have revealed that when staff disagree on patient management, patients become dissociated emotionally. When staff morale suffers, group disturbances result on the ward.

Studies on violence within mental hospital wards has indicated that "violence was less frequent and less extreme in wards characterized by strong psychiatric leadership, clearly structured staff roles, and events that were standardized and predictable" (Katz & Kirkland, 1990, p.262). These "peaceful wards" had regular schedules, few role-conflicts between staff, and clearly defined hospital procedures.

In prisons, the management style and ultimately, the leadership style that the prison warden incorporates will be affected by the social environment of the prison - the inmates, their behavior, and their social structure within

the prison. Perhaps because the inmates possess little power individually (stripped of freedom, prestige, most rights), they are forced to bind together as a "social structure" in order to regain "collective power". This "collective power" in essence determines the direction in which management or administrative duties must operate.

Since there exist so many similarities between the two organizations, how is the management of these two institutions also similar, and what can prison wardens learn from psychiatric hospital managers, and vice versa? The main similarity between these two institutions is that both deal with crisis situations. Frequent crises and organizational stress and strain raise the threshold for error signals. Staff question how critical a problem must be in order to receive attention. They can then become desensitized through a process of seeing supervisors ignore problems judged not urgent enough to receive attention and correction" (Yank et al., 1994, p.303).

Potentially dangerous and violent patients, suicidal patients, medication reactions, etc., all contribute to the stressful and crisis-oriented environment of the mental health organization. Likewise in the prison environment, potential prison riots, inmate stabbings, and the discovery of contraband all tend to become the first and foremost issues at hand. Prison wardens become attuned to dealing with crises, and the drawback may be that low to moderately

severe problems (although just as important in the long-term) may go undetected or waived aside.

The prison warden or psychiatric hospital administrator develops a "threshold", and problems not "serious" enough to cross into this threshold are not considered "crisis situations". This is termed "staff desensitization", and can interfere with dissemination of information and effective communication between and within staff members. "For example, a psychiatrist depends on other team members to provide information about a patient's mental functioning and behavior in order to optimally prescribe psychotropic medication" (Yank et al., 1994, p.295). Likewise, the prison warden depends on his/her "team members" (ie: the prison guards and treatment staff) to provide information concerning the inmate's adaptation and progress.

Yank et al., (1994), address the issue of team members as the "core" of mental health systems. They do not see "outsiders" as easily accepted into this system; "...Clients and families do not stay joined to the team as do other team members, and are not subsystems of the parent agency... therefore, clients and families are not "team members" in the same manner as other team members" (p.300). The system thus fights to remain homeostatic.

Prisons also operate in this way - within a "closed system"; families may visit, but it is only within the strict parameters of the prison rules and regulations. The

families always remain "outsiders" because they are not allowed to provide the daily input that is needed by the prison staff for daily functioning. Thus, prisons retain their homeostatic boundaries. Operating under crisis situations can often have a positive effect on the organization. Schein (1985) states: "If people share intense emotional experiences and collectively learn how to deal with very emotionally involving situations, they are more likely to remember what they have learned" (p.230).

What are the characteristics necessary then for effectively leading and managing either of these organizations? Yank et al., (1994) discuss mental health leadership, citing Greenblatt (1957):

Greenblatt described the role of the mental health clinical leader to be a "social systems clinician," able to understand the structure and functioning of the social system in which care is provided, improve the system's effectiveness, and intervene constructively when it is dysfunctional" (p.294).

Management or leadership style is not however a passive action, to be dictated by the demands of the inmates or patients. Rather, it is subtly molded or shaped by the needs of the "prison social structure or environment". Thus it is flexible, and can change and improve as needed.

In most public and private business organizations, administrative personnel are required to maintain professional attitudes and behaviors at all times; manipulative, controlling, or prejudiced staff would most likely be dismissed immediately. In prisons and psychiatric hospitals however, staff unfortunately are often "free" to adopt a wider range of behaviors. Staff often do not understand the relationships that patients seem to require within a therapeutic community, and "Poorly trained psychiatrists and physicians sometimes use patients to satisfy their un-conscious, infantile wishes, and indulge or control the patient..." (cited in Wesson et al., 1964, p.163).

"Disagreement, conflict, and unclarity in authority relations among the staff of a mental hospital will create disturbances in communication and interpersonal relationships that ultimately will impinge upon the patients, upsetting them and retarding their recovery" (Jackson, cited in Wesson et al., 1964, p.38). Jackson describes a research study which took place in 1959 on four large state mental hospitals within Kansas. A test designed to measure the *"Characteristics of the Treatment Environment"* (CTE) was "administered to 840 members of the administrative, professional, and non-professional staff" for each hospital" (cited in Wesson et al., 1964, p.55).

Results of this study showed that "Each hospital may

have its unique profile of treatment - environment characteristics, to be understood only in terms of its social structure and processes, the treatment philosophy of its staff, or other factors peculiar to itself" (Jackson, cited in Wesson et al., 1964, p.68). Prisons too are each unique, and must be analyzed in terms of location, size, security level, etc.

In Jackson's study, one major difference in treatment orientations was based on the fact that one of the hospitals was very "dynamic, ie., psychoanalytic, reflecting the training of the superintendent, the clinical director, and the director of the resident training program" (cited in Wesson et al., 1964, p.68).

In 1960, Dunham & Weinberg used the term "paranoid social structure" in reference to mental hospitals, and stated that "...The most significant feature of this paranoid social structure is its resistance to change. New ideas, new practices, new forms of therapy, new research viewpoints, are difficult to introduce if they interfere with existing hospital routines" (p.64). Thus, "leaders" were not encouraged to be innovators of change or visionaries within the psychiatric hospital.

Dunham & Weinberg also discuss the culture of the psychiatric hospital, and the dangers of "absorption" into this culture by the professional staff. If doctors and other professional staff adopt the hospital culture, it may

reduce "their therapeutic usefulness...If their psychological organization reflects the hospital culture, they become concerned with preserving its character rather than with functioning in their professional capacities. Their work, thus, sooner or later takes on a routine character" (1960, p.248,249).

Certain personality attributes are needed in order to handle the chaos and uncertainty of a changing environment. Kets de Vries (1989), discusses at length in his book *Prisoners of Leadership* the various personality characteristics of leaders from a psychological and clinical viewpoint. Kets de Vries identifies nine specific personality types: "Narcissistic, Aggressive, Paranoid, Histrionic, Detached, Controlling, Passive-Aggressive, Dependent, Masochistic" (p.87).

Kets de Vries (1989), cites the Narcissistic, Aggressive, or Paranoid types as having higher success in leadership positions as compared to the Passive-Aggressive, Dependent, or Masochistic types. The reason that Narcissistic, Aggressive, or Paranoid types are highly successful leaders is because they are "socially forceful and intimidating"... "cognizant of the dynamics of power"...harboring a "need for power, prestige, and glamour..." (p.58, 64, & 103).

Wright (1994) discusses the characteristics of an effective leader, stressing that staff are "mutually

interdependent, and they [leaders] constantly work to ensure a sense of community among them" (p.11). (This is also referred to as "teamwork"). This also means that leaders must be flexible - traditional and routine forms of management are predictable and safe, yet being able to adapt to new conditions and changing environments is essential for an effective leader.

One of the most critical elements of a well-run institution (according to Wright) is that of communication. "Communication serves as the *lifeblood* of any organization and is especially critical in a prison" (1994, p.21). Through communication, staff remain informed of ongoing problems; situations remain in the control of the management (not the inmates). Communication refers to "talking" and "discussing" with one another, and providing constructive feedback. Both verbal and written communication is essential, and both should be a part of ongoing training within the prison.

The prison system also is largely affected by the rapidly growing technology, and although the prison has been a relatively isolated system, it cannot remain so in today's modern world. As technology forces the organizational structure of the prison to modify itself, prison leaders also must change and adapt themselves. Forming an "image of the future" is what Wright terms a "vision". It is "when a leader identifies forces within or outside the organization

that may impact and shape its future" (1994, p.147,148). It is a cognitive process within the leader, that "begins with imagination and creativity, takes on emotion and passion, and finally leads to the solicitation and involvement of others" (Wright, 1994, p.149).

How does a warden form a vision? According to Wright, some main steps in forming a vision are acknowledging your own Values, reflecting on Past Experiences, Consultation with others, then, Formulating your vision" (1994, p.150, 151). The basic "value" that a prison warden must clarify from the beginning is his/her belief of what function a prison serves, and how a prison should treat the inmates. Once a leader establishes his/her own "vision", they need cooperation and support from all the remaining staff. The vision in itself should inspire the staff to strive towards it; the vision acts like a "glue" that holds the structure of the organization together. It binds and supports everyone.

Peters (1987) defines some of the characteristics of effective visions as "inspiring...clear and challenging... [sensible] in the marketplace...stable but constantly challenged...prepare for the future, but honor the past..." (p.402-404). How do you specifically acquire a vision? Peters instructs us: "Look to your prior experiences" (1987, p.405). Summarize what we have learned, what we like or dislike about an organization, what is memorable, etc. Seek

advice from others, jot down ideas, and discuss these ideas with others in an organization. Especially important is listening to the ideas of others...all of this helps a leader to form a vision.

Some aspects of "good leadership" (such as intelligence and charisma) are predominantly inherited characteristics of an individual, and cannot be "taught". Wright lists several "desirable qualities [that] can be taught: understanding followers, ability to deal with people, motivational skills, and decision-making" (1994, p.178).

To summarize, researchers have realized from the last several decades of research that:

(a) The authoritarian and vertical hierarchial structure of prison management is not successful; prisons need to incorporate all levels of staff into their management hierarchy; (b) Due to the physical security and isolation of the prison, there exists an "institutional environment" (composed of the relationship and interaction between the inmates and staff) that is unique to the prison climate. Effective prison wardens need to be aware of this "prison environment" and learn to manage the prison as part of a "total system"; (c) Prison wardens need to operate their institutions not in isolation of the outside world (external environment), but to interact with the community and the political arena, and thus be aware of external influences upon the prison system; (d) Previous research

on "management and leadership style" has implicated that effective leaders use a combination of managerial and leadership tools - (but primarily leadership).

Leadership Practices Inventory & Leader Behavior Analysis II

Several instruments measuring leadership have been standardized and validated through research efforts: two of these instruments that have already been used with prison wardens are the **LBAII (Leader Behavior Analysis II)**, and the **LPI (Leadership Practices Inventory)**. These tests measure various "scales" or dimensions in a leader: (flexibility, effectiveness, support, inspiration, encouragement, etc.).

In a dissertation by Jahanshahi (1992) entitled *"Female Academic Department Head: A National Study of Self-Perceived Leadership Styles in Doctoral Granting Institutions"*, the LBAII Self and demographics were used to survey female department chair/heads nationwide (n=87). The majority of the respondents scored in the S3 (Supporting) style. Demographics were: age, race, marital status, number of children at home, mother's work (education). The demographic variable of "mother's work" was found to be significantly related to **style flexibility**. There was a significant difference in style effectiveness based on "position title" and "faculty size" (Dissertation Abstracts International, 53-10A, p.3419).

A dissertation by Wisessang (1988) entitled *"Leadership*

Styles, Flexibility and Effectiveness of Public Secondary School Principals in Thailand" utilized the LBAII Self and demographic data to examine the leadership styles of 164 elementary school principals in Thailand. Two of the demographic variables: "principals' professional development" and "school location" were significantly related to the principals' primary leadership style (S3). Principals in the south of Thailand did not use the "Supporting" style (S3), and "principals who continued their professional development were more effective in their use of leadership style" (Dissertation Abstracts International, 49-08A, p.2068).

Schroeder (1988) in a dissertation entitled "*A Study of Perceived Leadership Styles of Vocational Administrators within Two-year Post Secondary Institutions in Texas*" surveyed administrators in post-secondary institutions (n=56). Demographics included: age, type of school, experience, degree level, and institutional size. Schroeder found that "degree level" and primary leadership style (84% preferred "supporting style") were significant in determining leader effectiveness scores. Doctoral degrees scored statistically higher in effectiveness scores than Master's degrees. (Dissertation Abstracts International, 49-10A, p.2886).

In 1995, Gary L. Dennis distributed a *Prison Social Climate Survey* to all the staff of the Kentucky Department

of Corrections (final n=1,330 employees). He also used the LBAII Self-A (along with four other management assessment instruments) in order to measure leadership style. One of Dennis' research questions was: "As determined by the Leader Behavior Analysis II-Self-A instrument, what is the preferred leadership style for each of Kentucky's prison wardens?" (1995, p.88). Dennis used the LBAII Self-A for wardens of twelve state and three private prisons in Kentucky (n=15).

Results indicated that of the four leadership styles, Supporting was the style used most often by the wardens (66.6% - ten scored highest in this style); Coaching was the second highest style (20% - three wardens); followed by Delegating, (20% - three wardens); and Directing, (6.6% - one warden). (See Table 5). The fifteen wardens scored slightly above average in Flexibility (mean = 18.80), and slightly above average in Effectiveness (mean = 52.87).

In a 1988 Dissertation, Jesse Stoner used the LBA and the LPI (and two other instruments), to measure leadership behavior and workers perceptions in a large (N=340) business corporation. Stoner cited the LPI and its reliability coefficients as follows:

<u>Scale:</u>	<u>Reliability:</u>
Challenging The Process	.75
Inspiring A Shared Vision	.84
Enabling Others To Act	.80
Modeling The Way	.78
Encouraging The Heart	.83
	(p.6)

In 1993, Marie Mactavish used the LPI to survey 70 senior-level leaders in corrections (at the federal, state, and local level). She used the LPI to measure leadership styles, and another instrument to measure leadership practices in the external environment. Mactavish found in her results that "correctional leaders reported a significantly higher use of the five leadership practices described in the LPI...compared to the general sample of people drawn from both the public and private sectors" (1993, p.76).

"The general sample from Kouzes & Posner (1992) was a mix of managers and senior-level leaders" (Mactavish, 1993, p.76). Mactavish's Correctional Professionals (n=55) had significantly higher means on all five scales ($p < .001$) than the sample of 5,298 public/private managers and leaders (1993, p.73). (See Table 7).

Kouzes & Posner (1995) state that "LPI scores have been found, in general, not to be related with various

demographic factors (for example, age, marital status, years of experience, educational level) or with organizational characteristics (for example, size, functional area, line versus staff position) (p.344). However, this study will examine *types of career experiences* as a demographic variable not mentioned in other studies.

The LBAII Self and LPI will help measure the amount of influence prison wardens possess as "leaders", and their "philosophy" regarding leadership; the LBAII Self measuring the managerial skills (transactional leadership), and the LPI measuring visionary leadership (transformational leadership). Both types of leadership are needed in an organization.

By measuring these attributes in current prison leaders, researchers may then be able to distinguish between the styles used by wardens, and specifically, whether wardens utilize managerial techniques, leadership techniques, neither, or a combination. This dissertation will assess the leadership styles of prison wardens within Virginia, and aims to help Virginia wardens to become aware of their strengths/weaknesses in becoming successful leaders within the prison system.

For a detailed description of the instruments LPI and LBAII Self, see page 76-81 in "METHODOLOGY" section.

Summary

Management style has been researched in private and public sector organizations for decades; recently, *leadership style* has emerged as a process or relationship between the leader and members of the organization. Leadership within the prison system has been a neglected topic and this literature review discussed the few studies of leadership within the correctional field.

Prisons (in addition to psychiatric hospitals) operate in an isolated environment; this separates them from most organizations within society. Thus, prisons (like psychiatric hospitals) develop a unique "organizational culture" which both the wardens, staff, and inmates must adopt and incorporate into their daily operations. Wardens often must focus their attention on the internal, "crisis" situations occurring within the prison; external factors (community, politics, etc.), although important, often are set aside in order to deal with internal issues.

Development of a leadership style was discussed along with various factors influencing a leader's decision, such as the organization, situation, personality, experience of leader, as well as the type, size, and location of an organization. Previous research on "leadership styles", particularly studies utilizing the two instruments in this dissertation (the LPI and the LBAII Self), are also referenced and discussed.

CHAPTER III

METHODOLOGY

Research Setting

The research in this study consisted of the data-gathering technique utilizing the Survey Method: using questionnaires administered to the wardens of every adult public prison ($N = 43$). The surveys were conducted at the Academy for Staff Development, Crozier, VA., in October, 1997, when the Department of Corrections held its semi-annual meeting for all prison wardens. The survey method was used to determine the independent factors (demographics, education, career experiences), and the leadership style of the wardens.

This study measures the construct of *leadership style*. This was accomplished using the LBAIL Self and the LPI surveys. These are two standardized instruments that measure leadership style. Both of these instruments have been used in the prison system, specifically with prison wardens in order to measure leadership style. The instruments used in this research were:

1. The Leader Behavior Analysis II-Self (LBAIL Self A)
2. The Leadership Practices Inventory (LPI)

The LBAIL Self consists of 20 questions (multiple choice) that ask the respondent to indicate "a", "b", "c",

or "d", as to how they would react in a specific management-related situation. When scoring, columns with the largest number of letters indicate a "Primary Leadership Style". Columns with four or more letters indicate a "Secondary Leadership Style". "Style Flexibility" and "Style Effectiveness" scores are also calculated, and range from 0 - 30 (Flexibility), and from 20 - 80 (Effectiveness).

The LPI consists of 18 questions with a Likert scale ranging from 1 (Almost Never) to 10 (Almost Always). Respondents are asked to indicate how they rate themselves on various dimensions of the five leadership practices. Scores for the LPI range from 6 - 60.

The LBAII Self has been used in the correctional system to assess leadership styles of prison wardens (Dennis, 1995), and the LPI has been used to measure leadership styles of senior-level correctional leaders at both local, state, and federal levels (Mactavish, 1993). This dissertation study will utilize both the LBAII Self and the LPI to assess the leadership styles of Virginia prison wardens of public adult prisons.

Ratings of "Others" (staff), will not be done (as in Dennis or Mactavish); only the Virginia wardens will complete the surveys. Both the LBAII Self and the LPI will be used, as they measure different *dimensions* of leadership: (both "transactional leadership" and "transformational leadership"). This study will analyze both types of

leadership, as well as demographics of gender, race, age, education, career experiences, and correctional background as they relate to leadership styles.

From a public administrator's view, there are several issues regarding leadership style that we should be concerned about within the prison system. Previous research studies with the LBAII and the LPI have indicated the following: The LPI measures "leadership" and that high scores on the LPI indicate that the person tends to focus "externally" (ie; is "visionary", challenges the heart, etc). The LBAII Self measures "traditional managerial" skills and high scores indicate that the person tends to focus "internally", on the organization itself. Within this "internal" focus, there can also be "effective & flexible" styles, (or low effectiveness & low flexibility).

Research Questions:

Previous studies utilizing the LBAII Self and the LPI instrument in a correctional setting indicated that wardens focus both internally and externally; the primary research question in this study is: whether or not the LBAII Self and the LPI instruments confirm the findings of wardens surveyed in states other than Virginia. Mactavish's 1993 study of senior-level leaders in corrections utilized the LPI; results indicated an above-average score on the five dimensions compared to the public/private sector population.

Dennis' 1995 study of Kentucky prison wardens used the LBAII Self; results indicated wardens scored above average, with "Supporting" as the style most often used.

This study attempted to answer the following research questions:

1. What are the managerial and leadership orientation of Virginia prison wardens? What are the combinations of scores present in the Virginia prison wardens?

(High Managerial - LBAII-flexible/effective)
and
(High Leadership - LPI)

or

(High Managerial - LBAII-flexible/effective)
and
(Low Leadership - LPI)

or

(Low Managerial - LBAII-low flexible/effective)
and
(High Leadership - LPI)

or

(Low Managerial - LBAII-low flexible/effective)
and
(Low Leadership - LPI)

2. Do security level and size of institution effect leadership styles?

The hypothesis is that security level and size of institution will effect leadership styles. (Since security level and size of institution are primarily positively correlated, an increase in security level should have the same results as an increase in bed size). Increased security level (and bed size) should result in higher scores on **Directing** and **Delegating**, (with lower scores on **Supporting** and **Coaching**). Decreased security level should result in higher scores on **Supporting** and **Coaching**, (with lower scores on **Directing** and **Delegating**). Maximum prisons will also tend to be more "internally" focused; this is because maximum security, larger institutions have more "crisis" situations to respond to, plus an increased emphasis on security.

Minimum prisons will tend to be more "externally" focused; this is because minimum security, smaller institutions have less of an emphasis on security, more of a concern with rehabilitation and community intervention, and thus need to be more "externally" focused.

3. Is leadership style among Virginia prison wardens significantly related to demographics, such as gender, race, age, education, career experiences?

Hypothesis testing will be done using the t test at the .05 level. The hypotheses are that scores on both the **LBAII** and the **LPI** should not be significantly affected by either gender, race, or age. Educational level should affect scores; higher education (Master's or Doctorate) should score higher on "leadership" skills (**LPI**) than lower education (Bachelor's or less). Career experiences should affect scores; previous experience primarily in "Treatment" should result in "High Supporting, Low Delegating" (**LBAII**), and previous "Management" experiences will score higher on the **LBAII** than the **LPI**. Previous "Security" experiences should score "High Delegating, Low Supporting".

In addition to these main research questions, this paper will also examine the demographic profile of the Virginia prison wardens with respect to: (a) gender, (b) race, (c) age, (d) educational level, (e) major, (f) work experience (years in corrections), (g) correctional background (treatment/security/management). This will serve

to accurately describe the prison wardens surveyed in this study.

The primary focus of this research study will be to determine dominant leadership styles used by the prison wardens in Virginia, and to examine if any type of relationship exists between the type of leadership style of wardens and various independent factors (demographics, education, career experiences, etc.).

The security level (minimum, medium, maximum) of each prison will also be analyzed in accordance with each warden's leadership style, as well as size of institution (small: <100 beds; medium: 101-350 beds; large: 351-500+ beds). Previous research (McShane et al., 1990), indicated some differences in management style related to security level and size of institution.

Data Collections Methods

DESIGN:

Control Variables: Type of Institution
Security Levels

The type of institution can be divided into three main categories according to security level: these categories are based on security perimeters, which are used to establish security levels by the Department of Corrections (DOC), as well as by custody level. *Security or Custody* is defined as: "The degree of restriction of inmate movement within a detention/correctional facility, usually divided into maximum, medium, and minimum risk levels" (American Correctional Association, 1990, p.180). Within the Virginia Department of Corrections, security categories range from 1 (least restrictive) to 6 (most restrictive) (Commonwealth of Virginia, *Institutional Assignment Criteria*, April 1996).

Maximum security facilities include the highest security levels (5 & 6); Medium security facilities include the medium security levels (3 & 4); Minimum security facilities include the lowest security levels (1 & 2). Table 1 identifies the number of facilities within each security level.

Table 1

Frequency Distribution of Institutional Security Level

<u>Minimum</u>	<u>Medium</u>	<u>Maximum</u>
Categories	Categories	Categories
1 & 2	3 & 4	5 & 6
Contains most field units.		Includes death- row inmates.
MINIMUM SECURITY/ADULT/MALE	(<u>N</u> = 14)	
MEDIUM SECURITY/ADULT/MALE	(<u>N</u> = 18)	
MAXIMUM SECURITY/ADULT/MALE	(<u>N</u> = 11)	
	TOTAL =	<u>N</u> = 43

(Source: Commonwealth of Virginia, *Institutional Assignment Criteria*, April 1996)

The institutions can also be broken down into regions within the state: **Northern, Eastern, Central, & Western.** Based on a regional division, the breakdown is shown in Table 2:

Table 2

Institutions by Region

<u>NORTHERN REGION:</u>	<u>EASTERN REGION:</u>
Maximum: <u>N</u> = 3	Maximum: <u>N</u> = 3
Medium: <u>N</u> = 4	Medium: <u>N</u> = 4
Minimum: <u>N</u> = 6	Minimum: <u>N</u> = 0
<u>CENTRAL REGION:</u>	<u>WESTERN REGION:</u>
Maximum: <u>N</u> = 3	Maximum: <u>N</u> = 2
Medium: <u>N</u> = 7	Medium: <u>N</u> = 3
Minimum: <u>N</u> = 2	Minimum: <u>N</u> = 6
TOTAL:	<u>N</u> = 43

DEPENDENT VARIABLES

1. Leadership Style (As measured by the LBAII-Self)

S1: Flexibility
 S2: Effectiveness
 S3: Directing
 S4: Coaching
 S5: Supporting
 S6: Delegating

Leadership Style (As measured by the LPI)

S7: Challenging the Process
 S8: Inspiring a Shared Vision
 S9: Enabling Others to Act
 S10: Modeling the Way
 S11: Encouraging the Heart

INDEPENDENT VARIABLES

1. Demographic background of wardens—(gender, age, race).
2. Educational background of wardens—
3. Career experiences of wardens (number of years in corrections, and in what capacity — ie., security, treatment, management).
4. Environmental and situational factors of the prison — (size, location, security-level).

The independent variables of demographic characteristics, educational characteristics, and career experiences should serve to analyze how prison wardens have accumulated or developed their leadership styles. Surveys will be administered to the Wardens or superintendents of each prison during the Fall meeting at the Academy for Staff Development. The three surveys will consist of:

1. A demographic survey, pertaining to the independent variables 1,2,3,4.
2. The LBAII Self, pertaining to the dependent variable 1 - (S1 - S6).
3. The LPI, pertaining to the dependent variable 1 - (S7 - S11).

As of this date, there are 28 maximum/medium security prisons in Virginia, and 14 minimum security facilities. (N=43). For the actual study, all 43 institutions were surveyed. After all data was collected from the 43 prisons at the semi-annual warden's conference in October, 1997, descriptive statistics were performed in order to determine whether the seven independent variables have a direct effect on the dependent variable of leadership style. Table 3 describes the study sample (N = 46), and the demographic data.

Table 3

Description of Study Sample

		<u>N:</u>	<u>%:</u>
<u>Wardens completing survey:</u>		46	100%
<u>Gender:</u>	Male:	35	76.1%
	Female:	11	23.9%
<u>Race:</u>	White:	33	71.7%
	Black:	13	28.3%
	Other:	0	0.0%
<u>Age:</u>	Mean = 48.4 years		
	Median = 49 years		
	Mode = 49 years		
	Range = 37-62 years		
<u>Educational Level:</u>	(Highest Level):		
	High-School Graduate:	1	2.2%
	Some College:	11	23.9%
	4 years-college:	10	21.7%
	Some graduate school:	7	15.2%
	Master's:	14	30.4%
	Post-Master's:	2	4.3%
	Doctorate:	1	2.2%

(Source: Demographic Survey, 1997)

Research Instruments and Variables

The LBAII Self A was developed to assess leadership style. It was published in 1991 (Blanchard Training and Development) and measures six elements of an individual's leadership style:

- **style Flexibility** - (indicates how often a "different style" was used.)

- **style Effectiveness** - (indicates how "appropriate" the chosen style is in the situation.)
- **Directing style** - (measures "one-way" communication- leader ---> follower.)
- **Coaching style**
- **Supporting style** - (measures "two-way" communication- leader offers support, interaction, encouragement, etc.)
- **Delegating style** (Murphy, 1994, p.456).

The LBAII measures *transactional leadership*, which focuses on managerial skills related to the organization (traditional management). The LBAII Self has been "field tested...in many applications and settings" (Zigarmi, Edeburn, & Blanchard, 1995, p.11). Analysis of previous research using the LBAII Self has reported consistent scores on Flexibility and Effectiveness ...fairly consistent over a wide organizational setting[s]...even across an international population" (Zigarmi et al., 1995, p.80).

Each leadership style is assigned to one of four styles:

- Style 1: (S1) High Directive, Low Supportive Behavior**
- Style 2: (S2) High Directive, High Supportive Behavior**
- Style 3: (S3) High Supportive, Low Directive Behavior**
- Style 4: (S4) Low Supportive, Low Directive Behavior**

Hershey & Blanchard originally named the four styles "Telling" (S1), "Selling" (S2), "Participating" (S3), and

"Delegating" (S4) (Bryman, 1986, p.148).

Directive Behavior: is defined as: "The extent to which the leader engages in one-way communication; spells out the follower(s') role and tells the follower(s) what to do, where to do it, when to do it and how to do it; and then closely supervises performance" (Zigarmi et al., 1995, p.5).

Some Examples of Directive Behaviors: "Setting and Clarifying Goals, Planning Work in Advance for Subordinates, Setting Timelines, Defining Roles, Etc." (Zigarmi, Blanchard, & Zigarmi, 1988, as cited in Zigarmi et al., 1995, p.5).

Supportive Behavior: is defined as: "The extent to which the leader engages in two-way communication, listens, provides support and encouragement, facilitates interaction and involves the follower(s) in decision making" (Zigarmi et al., 1995, p.5).

Some Examples of Supportive Behaviors: "Listening to the Subordinate, Praising, Asking for Input, Sharing Information about Organization or about Self, Team Building, Etc." (Zigarmi et al., 1988, as cited in Zigarmi et al., 1995, p.5).

Flexibility is "a numerical indicator of how often the respondent used a different style (1,2,3,or 4) to solve each of the twenty situations in the LBAII". The flexibility score ranges from 0 - 30. (Zigarmi et al., 1995, p.6).

Effectiveness is "a numerical representation of the respondent's appropriate use of the chosen style in light of the situation described...A value is assigned to excellent, good, fair, and poor answers respectively" (Zigarmi et al., 1995, p.7).

Effectiveness is scored as either:

Poor, Fair, Good, Excellent

"The Effectiveness score ranges from 20 - 80,...[and] is the most important score derived from the LBAII instrument..." (Zigarmi et al., 1995, p.7).

Directing, Coaching, Supporting, and Delegating Style are all "secondary style scores" and "are frequency counts of the number of times a respondent chose one particular style out of four within the twenty opportunities to do so" (Zigarmi et al., 1995, p.7).

The LBAII Self results in a Primary and one or more Secondary styles. Zigarmi et al., (1995) reports the internal consistency reliability findings for the LBAII Self as follows: (for two separate studies): "S1 = .51, .49; S2 = .45, .64; S3 = .56, .70; S4 = .42, .45" (p.80).

There have been "at least twenty-five studies using the LBAII Self..." and statistical analysis of these previous studies indicates that "In general, the internal consistencies for the [LBAII] Self are adequate for self-report instruments (ranging from a low of .43 to a high of .60)" (Zigarmi et al., 1995, pp.89,92).

The LPI was designed to provide ratings of five leadership behaviors. It was developed by J. Kouzes and B. Posner (1987) and is published by Pfeiffer and Company International Publishers. "The LPI was originally completed by 120 M.B.A. students. These students were employed full-time...attending school part-time...average age was twenty-nine...60 percent were males, and almost half had supervisory experience" (Kouzes & Posner, 1987, p.311). The LPI was "developed to empirically measure the conceptual framework developed in the case studies of managers' personal best experiences as leaders" (Kouzes & Posner,

1987, p.322).

The LPI measures *transformational leadership* or "visionary leadership" (non-traditional management). The LPI measures five elements of an individual's leadership style:

- Challenging the Process
- Inspiring a Shared Vision
- Enabling Others to Act
- Modeling the Way
- Encouraging the Heart

(Murphy, 1994, p.459).

Kouzes & Posner (1987), explain these five leadership practices as follows:

- 1.) **Challenge the process:** "Leaders are pioneers... willing to step out into the unknown" (p.8). Therefore, a successful leader will recognize good ideas and "challenge the system" so that new products or services are acquired. During this process, leaders are "allowed" to make mistakes; however, they turn their mistakes into learning opportunities (or successes).
- 2.) **Inspiring a Shared Vision:** Leaders have to imagine the future - they have a "vision" (or "purpose, mission, goal") (p.9). They usually see the end results before the projects have begun! However, the leader cannot acquire this "vision" by him/herself: he/she must have followers, and followers must somehow see this "vision" and accept it also. Leaders must inspire others to share this vision and work together towards it. By expressing a sincere interest in

their follower's needs and interests, leaders are able to obtain the support needed to reach the vision.

- 3.) ***Enabling Others to Act:*** Leaders learn to employ the power of "teamwork and collaboration [as] essential" (p.10). Leaders learn that everyone, from superiors through customers, must work together to reach the vision. "The effect of enabling others to act is to make them feel strong, capable, and committed" (p.11).
- 4.) ***Modeling the Way:*** As leaders help "steer" along the way, they also serve as a model for others to view. Their subordinates are appraising their actions, and leaders certainly must act in accordance with what they have stated. This means leaders must become a "role model", and one who "lives their values".
- 5.) ***Encouraging the Heart:*** Leaders can encourage their followers to continue on "zestfully" by recognizing individual achievement, and celebrating group efforts and accomplishments. Parties, "thank-you" notes, free coffee, Christmas bonuses - all serve to "encourage the heart" of the organization that what they are doing is important, and that they are truly appreciated.

"The LPI is an established instrument that has been used with 5,298 managers and leaders in management development seminars" (Mactavish, 1993, p.44). "Various analyses suggest that the LPI has sound psychometric properties...the reliability of the LPI over time appears acceptable" (Kouzes & Posner, 1987, p.322). "Internal reliabilities on the LPI-Self [have] ranged from .69 to .85..." (Kouzes & Posner, 1987, p.313).

Measurement of Independent Variables

The independent variables that were involved in this research to determine if they had any effect on leadership style were: gender, age, race, education, career experiences, institutional size, security level. Statistical procedures called for variables measured at several levels of precision. Gender and race, each with two values, were used as categorical variables in ANOVA and t test analyses, and as dummy variables in regression analysis. The career experiences variables were constructed by establishing the proportion of the wardens' work history employed in security, treatment, management, and "other" positions. The resulting values provided ratio level measures of the four variables.

Institutional size was presented as three levels depending on number of beds: 100 and fewer, 101 to 350, and 351 to 500 and more. Security level was identified as minimum, medium, and maximum. Age and education are ratio variables reflecting the number of years stated by the wardens.

Statistical Methods

The data were analyzed by both descriptive and inferential statistics. The former included means, standard deviations, and percentages while the latter involved one-way ANOVA, t tests, and chi-square. Hypothesis testing also

included multiple regression of the independent variables and the several indicators of leadership and management styles. A step-wise multiple regression technique was employed since previous research and theory had not been conclusive as to what factors were most influential in determining leadership and management styles of prison wardens. The analysis of the data in Chapter IV presents only the findings which were statistically significant at or below the .05 level of significance. Additional statistical information is in Appendix E.

Limitations of Study

As in any study, there always exist some threats to both internal and external validity. In this Dissertation, two "Self-Report" instruments are used; the LPI and the LBAII Self. Self-reporting scales pose a risk that inaccurate or inflated ratings of self may occur. The possibility always exists that respondents will rate themselves "higher" than they should. This phenomenon was taken into consideration when selecting the two instruments. Both the LPI and the LBAII are standardized instruments with established validity and reliability for measuring leadership styles. Both have been utilized extensively in various organizations and with various populations.

Research studies have been performed using two forms of ratings, those by "Self" or "Others". The latter technique

is best performed with "...At least 8 to 10 other individuals...contacted to complete the "Other" forms" (Mactavish, 1993, p.52,53). Due to the organizational structure of the Virginia prison system, it would have been difficult, if not impossible, at many of the smaller institutions to select 8 to 10 employees to complete the "Other" form. A "Self" rating scale is suitable for the method of data-collection followed in this study.

A 100% response rate from Virginia's wardens was achieved, due largely in part to the semi-annual warden's meeting at which all wardens attended. If "Other" ratings were used, a survey-mail method would have had to been utilized. Prior research studies of survey-mail questionnaires indicate a very low response rate. If the wardens had been asked to complete the three surveys (which took approximately 30 minutes to complete), then asked to distribute 8 to 10 additional surveys to their staff, it was felt that this request would discourage them from participating in the research.

The LPI and LBAIL Self provide information relevant to this particular study. Even though there is no way to tell whether the warden's stated (self-proclaimed) leadership style matches their style in practice, there is no reason to suspect biased responses from the wardens. The two scales are appropriate for the research questions addressed in this dissertation.

CHAPTER IV

ANALYSIS OF THE DATA

This dissertation examined the leadership styles of prison wardens within Virginia, and determined what factors, if any, contribute to the development of each warden's leadership style. This section of the study will address this issue, as well as discuss the wardens' scores on "transactional leadership" (as measured by the LBAII Self) and "transformational leadership" (as measured by the LPI).

A total of 46 wardens completed the surveys ($N=46$; 100% response rate), and all prisons in Virginia were represented. (Several of the prisons have more than one acting warden, due to the large size - specifically, the prison where death row is located. This accounts for 46 wardens completing the surveys, although there were only 43 active prisons at the time).

The surveys were distributed at the wardens' semi-annual meeting, October 1, 1997, at the Academy for Staff Development, Crozier, Virginia. This researcher was allotted 30 minutes to distribute and administer the surveys, but due to the schedule on that day, 45 minutes was actually available for the survey completion. The time range needed for survey completion ranged from 15 minutes to 45 minutes.

Fifty-five surveys were distributed; a total of 44

surveys were collected at the end of the 45 minutes, (and 1 survey was mailed the next day to this researcher). One prison was not represented at the meeting (this was discovered through the attendance sign-in sheet). After the meeting was concluded, this researcher contacted the absent warden and obtained permission to mail the surveys. They were returned one week later. **Total N=46.** "Thank-you" letters were promptly written and mailed to each warden and all participating staff within the department of corrections. All data were entered into an SPSS program, and means, medians, modes, chi-squares, correlations, and regression computed within 30 days of entering the data.

Analysis of Responses

The "average" warden in this sample was: Male, white, age 48, with a Master's degree, major in college: Sociology. Results from the LBAIL Self are reported in Table 4:

Table 4

Mean Scores and Range of Leadership Styles: LBAIL Self

	<u>Mean</u>	<u>Range</u>	<u>SD</u>
S1:High Directing/Low Supporting:	2.67	0-10	2.29
S2:High Directing/High Supporting:	5.04	0-12	2.52
S3:High Supporting/Low Directing:	7.91	2-16	3.47
S4:Low Supporting/Low Directing:	4.47	0-10	2.20

(Source: LBAIL Self Results, 1997)

As indicated, Virginia wardens scored highest in the style (S3): High Supportive, Low Directive (58.6% of wardens). This is very similar to Dennis' results in 1995 (see Table 5), as 66.6% of Kentucky wardens scored highest in this style also. Twenty-eight percent of Virginia wardens scored in style (S2): High Directive, High Supportive, and in Kentucky, 20% scored in this style.

Table 5

Mean Scores and Percentages of Leadership Styles: LBAIL Self: Virginia vs. Kentucky Wardens

	Virginia (1997)		Kentucky (1995)	
	<u>Mean</u>	<u>%</u>	<u>Mean</u>	<u>%</u>
S1:High Directing/Low Supporting:	2.67	8	1.40	6
S2:High Directing/High Supporting:	5.04	28	6.27	20
S3:High Supporting/Low Directing:	7.91	58	8.20	66
S4:Low Supporting/Low Directing:	4.47	19	4.13	20

(Source: LBAIL Self Results, 1997;
Dennis' LBAIL Self Results, 1995)

The four leadership styles on the LBAIL Self can also be broken down into "Primary Styles" (the style used most often); "Secondary Style" (the style used second most often, if the score is at least four); and "Developing Style" (a style with a score below four, which is a style the individual may want to develop). The scores for the Virginia wardens, grouped into these three categories, are presented in Table 6:

Table 6

Percent of Primary, Secondary, and Developing Styles: LBAII Self

	<u>Primary</u> *	<u>Second.</u> *	<u>Develop.</u> **
S1:High Direct/Low Support:	6.5%	8.6%	28.2%
S2:High Direct/High Support:	15.2%	23.9%	8.6%
S3:High Support/Low Direct:	47.8%	21.7%	4.3%
S4:Low Support/Low Direct:	15.2%	30.4%	6.5%
S1 & S2 (tied):	2.1%	--	--
S1 & S3 (tied):	--	--	--
S1 & S4 (tied):	--	4.3%	21.7%
S2 & S3 (tied):	8.6%	4.3%	--
S2 & S4 (tied):	--	4.3%	--
S3 & S4 (tied):	2.1%	2.1%	4.3%
S1 & S2 & S4 (tied):	--	--	4.3%

* Total is 99.6% (due to rounding)

**Total is 93.1% (as some wardens did not have "developing styles" - they did not score below four in any style).

(Source: LBAII Self Results, 1997)

Flexibility scores for the wardens ranged from: 8-27; the average score = 19.71; SD = 4.46 (Dennis' 1995 survey with Kentucky wardens had a mean of 18.80 - Virginia wardens scored slightly higher). Effectiveness scores ranged from 33-64; the average score = 49.10; SD = 7.94 (Dennis' 1995 survey with Kentucky wardens had a mean of 52.87 - Virginia wardens scored lower).

Results from the LPI are reported in Tables 7 and 8.

Mactavish's study of Correctional leaders and her comparison with Kouzes & Posner (1992) 5,298 private/public managers are shown in Table 7 (Original LPI). Kouzes & Posner LPI results (2nd ed., 1997), are compared with Virginia wardens in Table 8.

The means for Virginia wardens were slightly higher than the means reported by Kouzes & Posner (1997). This finding is also similar to Mactavish's study of Correctional professionals (1993) where correctional leaders scored significantly higher on the five scales.

Table 7

Mean Scores of Leadership Styles: LPI: Managers vs. National Correctional Leaders

	5,298 Managers:	Correctional Leaders:
	<u>MEAN:</u>	<u>MEAN:</u>
Challenging the Process:	22.38	25.65
Inspiring Shared Vision:	20.44	24.64
Enabling Others to Act:	23.90	22.16
Modeling the Way:	22.12	24.91
Encouraging the Heart:	21.96	24.64

(Source: LPI Results [Original LPI], Mactavish, 1993)

Table 8

Comparison of LPI Scores of Wardens with Scale Standards

	Virginia Wardens:		Kouzes & Posner:	
	MEAN:	SD:	MEAN:	SD:
Challenging the Process:	45.42	5.96	44.60	7.07
Inspiring Shared Vision:	45.22	6.77	42.51	8.50
Enabling Others to Act:	49.86	4.71	49.33	5.33
Modeling the Way:	51.28	4.61	47.36	6.04
Encouraging the Heart:	48.60	5.31	46.20	7.84

(Source: LPI Results [2nd ed.], 1997,
Kouzes & Posner, 1997)

Data from the two instruments was also analyzed according to each of the demographic variables, and is reported as follows:

Age: On the **LBAILI**, age was significant with Style 1. The younger the warden, the more likely they were to develop Style 1 (High Directing/Low Supporting).

Gender: On the **LPI**, there was no significant difference between males/females in the following categories: "Challenging the Process", "Inspiring a Shared Vision", and "Modeling the Way". The two categories where there was a significant difference between males/females were: "Enabling Others to Act" (Females scored significantly higher than

males; $p < .05$), and in "Encouraging the Heart" (Females scored significantly higher than males; $p < .05$). Kouzes & Posner (1995) also report a difference between males and females in this last category: "Female managers reported engaging in the leadership practice of encouraging the heart significantly more often than did their male colleagues..." (p.346).

On the **LBATII Self**, there was no significant difference between males and females in either styles 1,2,3, or 4.

Race: On the **LPI** there was no significant difference between race in the following categories: "Challenging the Process", "Enabling Others to Act", and "Modeling the Way". Categories where there was a significant difference between whites and blacks were: "Inspiring a Shared Vision" (Blacks scored significantly higher than whites; $p < .05$), and in "Encouraging the Heart" (Blacks scored significantly higher than whites; $p < .05$).

Utilizing the **LPI-Self** and **Other**, different ethnic backgrounds were compared in a study of "Directors of community development organizations...directors of color [African-Americans, Hispanics, Asians] reported significantly higher scores [on the **LPI-Self**] than their Caucasian counterparts for inspiring a shared vision and modeling the way" (Kouzes & Posner, 1995, p.349). However, the **LPI-Other** test (where the constituents in the

organization rated the leaders) did not reveal any significant differences in styles.

On the **LBAII Self**, there was no significant difference between blacks and whites in either styles 1,2,3, or 4.

Size of Institution: On the LPI, ANOVA was computed for the independent variables. There was a significant difference between institutional size and "Challenging the Process"; the larger the institution, the higher the wardens score on "Challenging the Process". Size of institution did not have an effect on the other categories of the LPI.

On the **LBAII Self**, two of the styles were "preferred" by the wardens: Style 1 (High Directing, Low Supporting) was only preferred by wardens in the largest institutions (>300 beds. Style 3 (High Supporting, Low Directing) was the preferred style of wardens in the smallest institutions (<100 beds). 66.7% of wardens in institutions <100 beds preferred style 3. The remaining 33.3% of wardens fell in the category of Styles 2 and 3 combined (High Directing, High Supporting, and High Supporting, Low Directing).

Security Level: On the **LBAII Self**, the style most likely to be used by wardens, regardless of security level, was Style 3 (High Supporting, Low Directing). However, this style was most predominant in minimum security institutions (71.4% of minimum security wardens preferred Style 3, compared to

58.3% of medium security wardens, and 28.6% of maximum security wardens.

Career Experiences: On the Demographic Survey, the wardens were asked to indicate their previous career experiences, and to indicate whether these experiences fell under "Management", Treatment", or "Security". Analysis of variance indicates that significantly more females than males come from a "Treatment" background ($p = .002$), and significantly more males than females come from a "Security" background ($p = .02$).

Education: Education was not found to correlate with either the LPI or the LBAII Self.

Flexibility: Flexibility was not found to be statistically significant with the independent variables of gender, race, institutional size, security level, educational level, or career experiences. Flexibility is, however, significantly correlated with leadership styles on the LBAII Self; specifically with Style 3 (High Supporting, Low Directing), and Style 4 (Low Supporting, Low Directing). Wardens preferring Style 3 are the "least flexible" in their style (selecting Style 3 behaviors more consistently); and wardens preferring Style 4 are the "most flexible" in their style (using all four styles about equally in their leadership

style).

Effectiveness: An ANOVA test was performed with "effectiveness" as a variable, and was not found to be statistically significant with the independent variables of gender, race, institutional size, security level, region, or educational level. However, when comparing "effectiveness" scores to "career experiences", there was an interesting correlational pattern that emerged. Two of the four career experiences: prior experience in "security" or "management" resulted in an inverse relationship; as prior experience in these career areas increased, effectiveness scores on the LBAIL Self decreased. The career experience of "treatment" and "other", however, was a positive relationship, indicating that as prior experience in "treatment" or "other" areas increased, "effectiveness" scores on the LBAIL Self increased.

The correlations on these four categories were weak: Security:-.17; Management:-.01; Other:.09; Treatment:.16. However, the *direction* of the correlation is worth pointing out, as the "effectiveness" score on the LBAIL Self remains one of the most important scores since it indicates the level of effectiveness for each answer chosen.

Another interesting finding was that scores on the LPI did not correlate highly with scores on the LBAIL Self. Using a t test (.05 level), there was no correlation found

between the LPI and the LBAII Self. On the LPI, subscales are highly correlated with each other (meaning that if a warden scores high on one scale, he/she generally scores high on subsequent scales). On the LBAII Self, the subscales are negatively correlated (meaning that if a warden scores high in Style 1, he or she will tend to score low in Styles 2,3, and 4).

Both tests measure a type of "leadership practice", but yet wardens scoring "high" on one test did not necessarily score "high" on the other test. Apparently then (as indicated in the Literature review) the LPI and LBAII Self measure a different aspect of leadership. The LPI measures "visionary" or "transformational" leadership (non-traditional) management, and the LBAII Self measures "transactional" (traditional) management.

CHAPTER V

FINDINGS AND INTERPRETATIONS

The purpose of this study was to perform a comparative analysis of leadership styles of prison wardens within the state of Virginia. This dissertation identified which leadership styles are dominant in prison wardens within Virginia, and determined which factors may have contributed to how wardens have developed the leadership styles they have.

The instruments used in this study to assess leadership styles were the Leadership Practices Inventory (LPI) and the Leader Behavior Analysis II-Self (LBAIL Self). A Demographic Survey was also developed, consisting of questions containing the independent variables of gender, race, age, educational level, college major, career experiences, size of institution, location of institution, and security level of institution. Both the LPI and the LBAIL have been used in prior research with correctional personnel, and this dissertation compares the results of this research. All three instruments were administered to the prison wardens of all adult, public prisons within Virginia; the total $N = 46$.

The primary research question in this dissertation was: "What are the managerial and leadership orientation of Virginia wardens?" The quantitative findings indicate that

the dominant leadership style for Virginia wardens, as indicated by the LBAII Self, was **Style 3: High Supportive/Low Directive** (58.6% of wardens). This indicates that these particular wardens tend to offer support and encouragement, and utilize interaction in their leadership style, and they tend not to use "one-way" communication (Directing) in their operations. **Style 2: High Directing/High Supporting** was favored by 28.2% of Virginia wardens. **In total, 86.8% of wardens favored High Supportive behavior in their leadership style.**

In 1995, Dennis surveyed Kentucky wardens using the LBAII Self-A. His results indicated that "Supporting" (S3) was the style used most often by the wardens (66.6%). When combining Style 3 and Style 2 (both consisting of a "High Supporting" style), 86.6% of Kentucky wardens favored "High Supporting" behavior in their leadership style - nearly identical to the results from the Virginia wardens.

The scores on the LPI indicate that most Virginia wardens rate themselves "above average" in their ability to "Challenge the Process, Inspire a Shared Vision, Enable Others to Act, Model the Way, and Encourage the Heart". Mactavish (1993) used the LPI to survey senior-level leaders (n=55) in corrections. Her results indicated that correctional leaders scored significantly higher when compared to a sample of managers drawn from the public and private sectors. Thus, the combination of scores (High

LBATII Self and High LPI) indicate both a "High Managerial" and a "High Leadership" orientation by Virginia prison wardens.

One possible interpretation for this could be that because of the nature of their jobs (a crisis-oriented, potentially violent environment), prison wardens learn to develop a highly supportive style of management or leadership. Offering "support" to their staff, "encouraging" staff to work both independently and as team members, encouraging "two-way" communication and interaction, both among staff and between staff and inmates; these are most likely management styles that have elicited positive results, thereby increasing their use by the wardens.

Foley (1993) offers another explanation as to why individuals within an occupational group may be very similar..."People working together under similar conditions begin to develop norms for behaviors, attitudes, and values. Eventually these standards are internalized and become characteristic of the people working in the situation" (p.130,131).

As was discussed in the literature review, psychiatric hospitals must incorporate a highly supportive management style in order to maintain a healthy "treatment mileau". Excess conflict or role confusion among staff creates a disturbance in the treatment setting, ultimately affecting

the patients. Prisons also function within a tight social system in which the roles and functions of the staff heavily influence the behavior of the inmates. Thus, a highly supportive management style is necessary in order to prevent chaos and disorganization within the prison environment. In addition, wardens tend to focus on the immediate "internal" environment of the prison, thus a highly supporting management style is more likely when efforts are focused inward (not externally).

"Challenging...Visions...Enabling...Modeling...Encouraging...", these are all characteristics in which Virginia wardens scored above average. These five elements of leadership involve processes such as: *"Challenging the system; formulating a purpose or common goal; employing power from others; being a role model; recognizing individual and group accomplishments"*. All of these elements describe a leader who is "visionary" in his/her thinking, who is aware of both the internal prison environment and the external community influences, who has both self-respect and respect for all employees.

An interesting finding involves the correlation of "Career Experiences" with "Effectiveness" scores on the LBIII Self. Wardens who indicated a previous background in "Treatment" tended to score higher on "Effectiveness". The occupational code of "Treatment" was assigned to the following four positions: **COUNSELOR** (including "CORRECTIONS

COUNSELOR" AND "COUNSELING SUPERVISOR"), **TREATMENT PROGRAM SUPERVISOR, PROBATION/PAROLE OFFICER, and SOCIAL WORKER.**

All of these positions involve "treatment" within a specific population or social group, either performing counseling or treatment type services.

In most of the literature regarding prison management, there was little discussion regarding the rehabilitation of prisoners as a core function of the warden's leadership style. Whether wardens were mainly punitive or rehabilitative oriented was not addressed specifically. Examination of the leadership styles most dominant in Virginia wardens, however, reveal that many of the characteristics they possess are elements of a "rehabilitative" or "treatment-oriented" view. Concern over programs offered, respect for others, and developing a common "vision" or mission for the institution are key ingredients for a rehabilitative perspective.

This supports the findings that those wardens with previous treatment backgrounds scored higher on the "Effectiveness" scale (LBAIL Self) than wardens without treatment backgrounds. Perhaps treatment backgrounds enable wardens to more "quickly" grasp the skills necessary for "effective" leadership. It appears that a "treatment-oriented" view might be characteristic of most wardens within Virginia.

Another possible explanation as to why Virginia wardens

were quite similar on their scoring results is because they are operating within a "closed system" (a stable environment: "stable" in that the inmate population remains quite stable and rules/regulations rarely fluctuate). Wardens are not continuously subject to changing or influencing forces from the outside; however, any external forces (such as political or community influences) affect all wardens fairly equally.

In summary, analysis of the data revealed that most demographic variables, in general, did not affect leadership styles of prison wardens. An exception to this was the security level and size of the institution (research question 2). The larger the institution (and the more secure), the more "Directing" the leadership style; the smaller the institution (and the less secure), the more "Supporting" the leadership style.

Research questions 3,4, and 5 address the demographic variables as they relate to leadership style. The results indicated that leadership style among Virginia prison wardens was not significantly related to their gender, race, age, or educational level. Career experiences, however, do affect leadership style, but are related to "Effectiveness" scores. This finding would support the "work role-prisonization model hypothesis" by Cullen (1993), that states a warden's correctional orientation is not due to the experiences he/she bring to the job, but rather shaped "by

the organizational conditions of prisons and the nature of the work role" (p.75).

Therefore, the *situational model* of leadership would apply to the prison system, explaining why wardens seem to develop a "Highly Supportive" style when dealing with the prison environment. The prison environment helps to shape their leadership style. In addition, Virginia prison wardens appear to have both a "managerial orientation" and a "leadership orientation", scoring above average on both instruments. Virginia prison wardens thus appear to focus both internally and externally (on both the prison environment and the community).

Implications for Future Research

The current research regarding correctional personnel within the prison environment acknowledges the need for effective management skills, leadership qualities, and a concern for both treatment and criminological issues. Nelson & Lovell (1969) state that future correctional administrators will need to acquire the following: "...[A] grasp of basic research methods;...broad understanding of knowledge and theory in the social and behavioral sciences;...scientific knowledge about deviant behavior and its treatment" (p.16).

Apparently just "managing" a prison in itself is not sufficient; management must evolve around a "vision", a

"philosophy of the heart and mind", a "mission of hope" that the quality of management goes beyond the daily operations of prison life. "...Prospective correctional administrators should acquire the skills associated with change rather than merely those required for maintenance of the system" (Nelson & Lovell, 1969, p.13). *Change* that encompasses a treatment philosophy plus a clear mission for each individual prison.

A mission helps in defining and organizing the goals of a prison, and it will allow the wardens to then develop their own leadership style or direction. The question: "Do you support a treatment-oriented philosophy in your leadership style?" was not asked of the Virginia wardens, and quite possibly should be included in future research regarding wardens. Survey results indicating a majority preference for "High Supporting" in their leadership style, however, would appear to indicate that some type of philosophy centered around treatment is upheld by wardens in Virginia.

Future studies in prison leadership should attempt to compare leadership styles to variables within the prison environment itself: comparing "Effectiveness" scores to the amount of violence in a prison (inmate-inmate assaults, inmate-staff assaults); the satisfaction of employees (as measured by staff turnover and staff rating); the number of grievances filed by inmates, etc. This would allow for an examination of whether Style 1: (High Directing/Low

Supporting) was found in prisons with low violence or low staff turnover, as compared to Style 3: (High Supporting/Low Directing) as an example.

Undoubtedly, most managers (inside and outside of corrections) would agree that managing a prison has some very unique issues as compared to other public or private sector organizations. The physical environment of the prison, the negative connotations associated with criminals, the frustrating process of trying to change a system where very few end up "rehabilitated"; perhaps all of this helps enable a warden to observe and learn about the fallibility of our social system, and to realize that it takes more than one warden to have a smoothly run prison!

The issue of prison "management" and "leadership" within the prison remains a vital and necessary topic for ongoing research; as the prison population increases, effectiveness and efficiency in management become even more important issues. The prison as an institutional organization must be recognized as an important function of society. We need leaders within our prisons just as much as leaders in our cities, states, and government.

Leaders are influenced by their environment, and they in turn influence those around them. By determining the style of leadership that works *best* within the prison environment, we will have taken a giant step in improving our prison system. An effective leader is aware of his or

her environment; not just of his or her successes, but of his or her failures also. Success often results from a series of struggles...perhaps the struggles within the prison system can also serve to remind wardens that the criminal justice system is vulnerable, and also quite amenable to change - including "positive change".

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APPENDIX A
PERMISSION LETTERS

KOUZES POSNER INTERNATIONAL
15419 Banyan Lane
Monte Sereno, California 95030
Phone/FAX: (408) 354-9170

September 6, 1997

Ms. Nancy Santiago
P.O. Box 12181
Newport News, Virginia 23612-2181

Dear Nancy:

Thank you for your correspondence (dated September 2, 1997) requesting permission to use the Leadership Practices Inventory (LPI) in your dissertation. We are willing to allow you to use the instrument as outlined in your letter, at no charge, with the following understandings:

- (1) That the LPI is used only for research purposes and is not sold or used in conjunction with any compensated management development activities;
- (2) That copyright of the LPI is retained by Kouzes Posner International; and,
- (3) That one (1) bound copy of your dissertation, and one (1) copy of all papers, reports, articles, and the like which make use of the LPI data be sent promptly to our attention.

If the terms outlined above are acceptable, would you please so indicate by signing one (1) copy of this letter and returning it in the enclosed self-addressed, return envelope. Enclosed are fifty (50) copies of the instrument. Best wishes for every success with your research project. If we can be of any further assistance, please let us know.

Cordially,



Barry Z. Posner, Ph.D.
Managing Partner

I understand and agree to abide by these conditions:

(Signed) Nancy E. Santiago Date: 9-12-97

January 8, 1997

Ms. Nancy Santiago
PO Box 12181
Newport News, VA 23612

Dear Nancy:

Over the years the LBAII® Self or Other has been used in over forty dissertations on Master studies. We are pleased that the model and instruments have become more visible. As the requests for LBAII®s increase, we have found it necessary to humbly request that researchers follow some general guidelines.

BTD will provide the LBAII® instruments to you at no cost providing you are willing to meet the following conditions:

- That any dissertations, papers, etc. written from this theoretical framework and using these instruments give citations and references as to where the instruments can be obtained.
- That you do not sell or make economic gain from selling the instruments for popular consumption and that any copies of the instruments used be clearly marked "For research only."
- That Blanchard Training and Development receive a full bound copy of any dissertation or monograph written concerning this research.
- That Blanchard Training and Development be allowed to pass on your research (in summary form) to others who might be doing similar research as a way of supporting those who are working hard to further the field of education.

- That the following scores be produced and reported in your publication using your sample base.
 1. Average Flexibility Score and Standard Deviation
 2. Average Effectiveness Score and Standard Deviation
 3. Average Style Score Means and Standard Deviations to S1 through S4
 4. Per cent of Primary Styles 1 through S4
 5. Per cent of Secondary Styles 1 through S4
 6. Per cent of Developing Styles 1 through S4
 7. Maximums and Minimums

This request has emerged because researchers do not fully utilize the six scores that can be derived from the LBAII®. With these scores, BTD will be able to compare across populations. These numbers may aid in a future meta analysis.

Optional scores that would help further comparisons are

8. Average Flexibility Scores and Standard Deviations by Gender
9. Average Effectiveness Scores and Standard Deviations by Gender
10. Average Style Score Means and Standard Deviations by Gender

Enclosed is a copy of the Reliability/Validity Study which describes the LBAII® Self and Other and relevant research. If you decide to use the LBAII®, please call me so we can discuss your research design.

Also enclosed is an article which summarizes some of the changes in the model since 1981 and some pertinent research findings.

Sincerely,



Drea Zigarmi, Ed.D.
Research Coordinator

DZ:JK

Enc: *Situational Leadership after 25 Years*
Reliability and Validity Study

APPENDIX B
DEMOGRAPHIC SURVEY

DEMOGRAPHIC SURVEY

Directions: Please complete the following survey regarding demographic information. This information is needed for research on prison wardens.

PRISON / INSTITUTION INFORMATION:

Size of Institution:

Security Level of Institution:

Region:

< 100 beds: _____

Minimum: _____

Northern: _____

101-350 beds: _____

Medium: _____

Eastern: _____

351-500+beds: _____

Maximum: _____

Central: _____

Western: _____

PERSONAL INFORMATION:

Your age: _____

Your race: _____ White

Your sex: _____ Male

_____ Black

_____ Female

_____ Hispanic

_____ Asian

_____ Native American

_____ Combination of above
or other

EDUCATIONAL BACKGROUND:

_____ High School Grad

_____ Some College

_____ 2 Year College Degree

_____ 4 Year College Graduate Major: _____

_____ Some Graduate work

_____ Graduate Degree (Masters) Major: _____

_____ Some Post Masters

_____ Doctorate Degree Major: _____

CAREER EXPERIENCES:

Please list your Career Experiences (both in Corrections and outside of Corrections).

List them chronologically, beginning with your 1st position after graduating, then your 2nd, 3rd, etc.

Please check off the "type" of position, and indicate the number of years in each position.

<u>POSITION HELD:</u>	<u>Security:</u>	<u>Treatment:</u>	<u>Management:</u>	<u>Other:</u>	<u># Years:</u>
1.) _____	_____	_____	_____	_____	_____
2.) _____	_____	_____	_____	_____	_____
3.) _____	_____	_____	_____	_____	_____
4.) _____	_____	_____	_____	_____	_____
5.) _____	_____	_____	_____	_____	_____
6.) _____	_____	_____	_____	_____	_____
7.) _____	_____	_____	_____	_____	_____
8.) _____	_____	_____	_____	_____	_____
9.) _____	_____	_____	_____	_____	_____
10.) _____	_____	_____	_____	_____	_____

Thank-you for your time and effort!

APPENDIX C

LBATII Self A

©
LBAIL

LEADER BEHAVIOR ANALYSIS II®

Kenneth H. Blanchard, Ronald K. Hambleton,
Drea Zigarmi and Douglas Forsyth

SELF, FORM A PERCEPTIONS OF LEADERSHIP STYLE

SAMPLE

Name

DIRECTIONS:

The purpose of the LBAIL Self, Form A is to provide you with information about your perceptions of your own leadership style. This instrument consists of twenty typical job situations that involve a leader and one or more staff members. Following each situation are four possible actions that a leader may take. Assume that you are the leader involved in each of the twenty situations. In each of the situations, you must choose one of the four leader decisions. **Circle** the letter of the decision that you think would most closely describe **your** behavior in the situation presented. **Circle only one choice.**



Blanchard Training and Development, Inc.
125 State Place, Escondido, CA 92029
(800) 728-6000 (619) 489-5005

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Item # SL-0001401

1 You have asked a new employee to write a report to buy new equipment for the division. She needs to learn more about this equipment to make a sound decision about options and costs. She feels this assignment will stretch her already full schedule. You would

A) Tell her you want the report. Explain what you want in the report. Outline the steps she should take to become knowledgeable about the new equipment. Set weekly meetings with her to track progress.

B) Ask her to produce the report. Discuss its importance. Ask her for a deadline for completion. Give her resources she thinks she needs. Periodically check with her to track progress.

C) Tell her you want the report and discuss its importance. Explain what you want in the report. Outline steps she should take to learn more about the equipment. Listen to her concerns and use her ideas when possible. Plan weekly meetings to track her progress.

D) Ask her to produce the report. Discuss its importance. Explore the barriers she feels must be removed and the strategies for removing them. Ask her to set a deadline for completion and periodically check with her to track progress.

2 Your task force has been working hard to complete its division-wide report. A new member has joined the group. He must present cost figures at the end of next week but he knows nothing about the report requirements and format. He is excited about learning more about his role in the group. You would

A) Tell him exactly what is needed. Specify the format and requirements. Introduce him to other task-force members. Check with him frequently during the week to monitor progress and to specify any corrections.

B) Ask him if there is anything you can do to help. Introduce him to other task-force members. Explore with him what he thinks he needs to get up to speed with the report. Check with him frequently during the week to see how he is doing.

C) Specify the report format and information needed and solicit his ideas. Introduce him to each task-force member. Check with him frequently during the week to see how the report is progressing and to help with modifications.

D) Welcome him and introduce him to members of the task force who could help him. Check with him during the week to see how he is doing.

3 You have recently noticed a performance problem with one of your people. He seems to show a “don’t care” attitude. Only your constant prodding has brought about task completion. You suspect he may not have enough expertise to complete the high-priority task you have given him. You would

A) Specify the steps he needs to take and the outcomes you want. Clarify timelines and paperwork requirements. Frequently check to see if the task is progressing as it should.

B) Specify the steps he needs to take and the outcomes you want. Ask for his ideas and incorporate them as appropriate. Ask him to share his feelings about this task assignment. Frequently check to see the task is progressing as it should.

C) Involve him in problem solving for this task. Offer your help and encourage him to use his ideas to complete the project. Ask him to share his feelings about the assignment. Frequently check to see that the task is progressing as it should.

D) Let him know how important this task is. Ask him to outline his plan for completion and to send you a copy. Frequently check to see if the task is progressing as it should.

4 Your work group's composition has changed because of company restructuring. Performance levels have dropped. Deadlines are being missed and your boss is concerned. Group members want to improve their performance but need more knowledge and skills. You would

A) Ask them to develop their own plan for improving performance. Be available to help them, if asked. Ask them what training they think they need to improve performance and give them the resources they need. Continue to track performance.

B) Discuss your plan to solve this problem. Ask for their input and include their ideas in your plan, if possible. Explain the rationale for your plan. Track performance to see how it is carried out.

C) Outline the specific steps you want them to follow to solve this problem. Be specific about the time needed and the skills you want them to learn. Continue to track performance.

D) Help them determine a plan and encourage them to be creative. Support their plan as you continue to track performance.

5 Because of budget cuts, it is necessary to consolidate. You have asked a highly experienced department member to take charge of the consolidation. This person has worked in all areas of your department. In the past, she has usually been eager to help. While you feel she is able to perform the assignment, she seems indifferent to the task. You would

A) Reassure her. Outline the steps she should take to handle this project. Ask for her ideas and incorporate them when possible, but make sure she follows your general approach. Frequently check to see how things are going.

B) Reassure her. Ask her to handle the project as she sees fit. Let her know that you are available for help. Be patient but frequently check to see what is being done.

C) Reassure her. Ask her to determine the best way to approach the project. Help her develop options and encourage her to use her own ideas. Frequently check to see how she is doing.

D) Reassure her. Outline an overall plan and specify the steps you want her to follow. Frequently check to see how the steps are being implemented.

6 For the second time in a month you are having a problem with one of your employees. His weekly progress reports have been incomplete and late. In the past year he has submitted accurately completed reports on time. This is the first time you have spoken to him about this problem. You would

A) Tell him to improve the completeness and timeliness of his paperwork. Go over the areas that are incomplete. Make sure he knows what is expected and how to fill out each report section. Continue to track his performance.

B) Ask him to turn in his paperwork on time and accurately, without pushing him. Continue to track his performance.

C) Discuss time and completion standards with him. Listen to his concerns but make sure he knows what is expected. Go over each report section and answer any questions he may have. Use his ideas, if possible. Continue to track his performance.

D) Ask him why the paperwork is incomplete. Listen to his concerns and do what you can to help him understand the importance of timeliness and completeness. Continue to track his performance.

(continued on page 4)

7 You have asked one of your senior employees to take on a new project. In the past, his performance has been outstanding. The project you have given him is important to the future of your work group. He is excited about the new assignment but doesn't know where to begin because he lacks project information. Your relationship with him is good. You would

A) Explain why you think he has the skills to do the job. Ask him what problems he anticipates and help him explore alternative solutions. Frequently stay in touch to support him.

B) Specify how he should handle the project. Define the activities necessary to complete the job. Regularly check to see how things are going.

C) Ask him for a plan for completing the project in two weeks and to send you a copy for your approval. Give him enough time to get started without pushing him. Frequently offer your support.

D) Outline how the project should be handled and solicit his ideas and suggestions. Incorporate his ideas when possible but make sure your general outline is followed. Regularly check to see how things are going.

8 One of your staff members is feeling insecure about a job you have assigned to him. He is highly competent and you know that he has the skills to successfully complete the task. The deadline for completion is near. You would

A) Let him know of your concerns about the impending deadline. Help him explore alternative action steps and encourage him to use his own ideas. Frequently check with him to lend your support.

B) Discuss with him your concerns about the impending deadline. Outline an action plan for him to follow and get his reactions to the plan. Modify the plan if possible but make sure he follows your general outline. Frequently check with him to see how things are going.

C) Specify the reasons for on-time completion of the assignment. Outline the steps you would like him to start following. Ask that the steps be followed. Frequently check to see how he is progressing.

D) Ask him if there are any problems but let him resolve the issue himself. Remind him of the impending deadline, without pushing him. Ask for an update in three days.

9 Your staff has asked you to consider a change in their work schedule. Their changes make good sense to you. Your staff is well aware of the need for change. Members are very competent and work well together. You would

A) Help them explore alternative scheduling possibilities. Be available to facilitate their group discussion. Support the plan they develop. Check to see how they implement their plan.

B) Design the work schedule yourself. Explain the rationale behind your design. Listen to their reactions, ask for their ideas and use their recommendations when possible. Check to see how they carry out your schedule.

C) Allow the staff to set a work schedule on their own. Let them implement their plan after you approve it. Check with them at a later date to assess their progress.

D) Design the work schedule yourself. Explain how the schedule will work and answer any questions they may have. Check to see that your schedule is followed.

10 Due to an organizational change, you have been assigned six new people whose performance has been declining over the past three months. They do not seem to have the task knowledge and skills to do their new jobs, and their attitudes have worsened because of the change. In a group meeting, you would

A) Make them aware of their three-month performance trend. Ask them to decide what to do about it and set a deadline for implementing their solution. Monitor their progress.

B) Make them aware of their three-month performance trend. Specify the action steps you want them to follow. Give constructive feedback on how to improve performance. Continue to monitor performance.

C) Make them aware of their three-month performance trend. Outline the steps you want them to follow, explain why and seek their feedback. Use their ideas when possible but make sure they follow your general approach. Continue to monitor performance.

D) Make them aware of their three-month performance trend. Ask them why their performance is declining. Listen to their concerns and ideas. Help them create their own plan for improving performance. Track their performance.

11 A member of your department has had a fine performance record over the last 22 months. He is excited by the challenges of the upcoming year. Budgets and unit goals have not changed much from last year. In a meeting with him to discuss goals and an action plan for next year, you would

A) Ask him to submit an outline of his goals and an action plan for next year for your approval. Tell him you will call him if you have any questions.

B) Prepare a list of goals and an action plan that you think he can accomplish next year. Send it to him and meet with him to see if he has any questions.

C) Prepare a list of goals and an action plan that you think he can achieve next year. Meet with him to discuss his reactions and suggestions. Modify the plan as you listen to his ideas, but make sure you make the final decisions.

D) Ask him to send you an outline of his goals and an action plan for next year. Review the goals and plan with him. Listen to his ideas and help him explore alternatives. Let him make the final decisions on his goals and plan.

12 Your unit has had an excellent performance record over the past two years. However, they have recently experienced three major setbacks due to factors beyond their control. Their performance and morale have drastically dropped and your boss is concerned. In a group meeting, you would

A) Discuss the recent setbacks. Give them the specific steps you want them to follow to improve their performance. Continue to track performance.

B) Ask them how they feel about the recent setbacks. Listen to their concerns and encourage and help them explore their ideas for improving performance. Continue to track performance.

C) Discuss the recent setbacks. Clarify the steps you want them to follow to improve performance. Listen to their ideas and incorporate them, if possible. Emphasize results. Encourage them to keep trying. Continue to track performance.

D) Discuss the recent setbacks, without pressuring them. Ask them to set a deadline to improve performance and to support each other along the way. Continue to track performance.

(continued on page 6)

13 You were recently assigned a new employee who will perform an important job in your unit. Even though she is inexperienced, she is enthusiastic and feels she has the confidence to do the job. You would

A) Allow her time to determine what the job requires and how to do it. Let her know why the job is important. Ask her to contact you if she needs help. Track her progress.

B) Specify the results you want and when you want them. Clearly define the steps she should take to achieve results. Show her how to do the job. Track her progress.

C) Discuss the results you want and when you want them. Clearly define the steps she can take to achieve results. Explain why these steps are necessary and get her ideas. Use her ideas if possible but make sure your general plan is followed. Track her performance.

D) Ask her how she plans to tackle this job. Help her explore the problems she anticipates by generating possible alternative solutions. Encourage her to carry out her plan. Be available to listen to her concerns. Track her performance.

14 Your boss has asked you to increase your unit's output by seven percent. You know this can be done but it will require your active involvement. To free your time, you must reassign the task of developing a new cost-control system to one of your employees. The person you want has had considerable experience with cost-control systems, but she is slightly unsure of doing this task on her own. You would

A) Assign her the task and listen to her concerns. Explain why you think she has the skills to handle this assignment. Help her explore alternative approaches if she thinks it would be helpful. Encourage and support her by providing needed resources. Track her progress.

B) Assign her the task and listen to her concerns. Discuss the steps she should follow to complete the task. Ask for her ideas and suggestions. After incorporating her ideas, if possible, make sure she follows your general approach. Track her progress.

C) Assign her the task. Listen to her concerns but let her resolve the issue. Give her time to adjust and avoid asking for results right away. Track her progress.

D) Assign her the task. Listen to her concerns, and minimize her feelings of insecurity by telling her specifically how to handle this task. Outline the steps to be taken. Closely monitor her progress.

15 Your boss has asked you to assign someone to serve on a company-wide task force.

This task force will make recommendations for restructuring the company's compensation plan. You have chosen a highly productive employee, who knows how her co-workers feel about the existing compensation plan. She has successfully led another unit task force. She wants the assignment. You would

A) Give her the assignment but tell her how she should represent her co-workers' point of view. Specify that she give you a progress report within two days of each task-force meeting.

B) Ask her to accept the assignment. Help her develop the point of view she will take on the task force. Periodically check with her.

C) Give her the assignment. Discuss what she should do to ensure her co-workers' perspective is considered by the task force. Ask for her ideas and make sure she follows your general approach. Ask her to report to you after every task-force meeting.

D) Give her the assignment. Ask her to keep you informed as things progress. Periodically check with her.

16 Due to illness in your family, you have been forced to miss two meetings of a committee under your direction. Upon attending the next meeting, you find that the committee is operating well and making progress toward completing its goals. All group members come prepared, participate and seem to be enthusiastic about their progress. You are unsure of what your role should be. You would

A) Thank the committee members for their work so far. Let the group continue to work as it has during the last two meetings.

B) Thank the committee members for their work so far. Set the agenda for the next meeting. Begin to direct the group's activities.

C) Thank the committee members for their work so far. Do what you can to make the members feel important and involved. Try to solicit alternative ideas and suggestions.

D) Thank the committee members for their work so far. Set the agenda for the next meeting but make sure to solicit their ideas and suggestions.

17 Your staff is very competent and works well on their own. Their enthusiasm is high because of a recent success. Their performance as a group is outstanding. Now, you must set unit goals for next year. In a group meeting, you would

A) Praise them for last year's results. Involve the group in problem solving and goal setting for next year. Encourage them to be creative and help them explore alternatives. Track the implementation of their plan.

B) Praise them for last year's results. Challenge them by setting the goals for next year. Outline the action steps necessary to accomplish these goals. Track the implementation of your plan.

C) Praise them for last year's results. Ask them to set the goals for next year and to define their action plan to accomplish these goals. Be available to contribute when asked. Track the implementation of their plan.

D) Praise them for last year's results. Set the goals for next year and outline the action steps necessary to accomplish these goals. Solicit their ideas and suggestions and incorporate them if possible. Track the implementation of your plan.

18 You and your boss know that your department needs a new set of work procedures to improve long-term performance. Department members are eager to make some changes but, because of their specialized functions, they lack the knowledge and skills for understanding the big picture. You would

A) Outline the new procedures. Organize and direct the implementation. Involve the group in a discussion of alternatives. Use their suggestions when possible, but make them follow your general approach. Track their use of the new procedures.

B) Outline and demonstrate the new procedures. Closely direct the group in their initial use of the procedures. Track their use.

C) Involve the group in a discussion of what the new procedures should be. Encourage their initiative and creativity in developing the new procedures. Help them explore possible alternatives. Support their use of the procedures. Closely track results.

D) Ask the group to formulate and implement a set of new procedures. Answer any informational concerns but give them the responsibility for the task. Closely track the use of the new procedures.

(continued on page 8)

19 You were recently appointed head of your division. Since taking over, you have noticed a drop in performance. There have been changes in technology, and your staff has not mastered the new skills and techniques. Worst of all, they do not seem to be motivated to learn these skills. In a group meeting, you would

A) Discuss the staff's drop in performance. Listen to their concerns. Ask for their solutions for improving performance. Express your faith in their strategies. Emphasize their past efforts but track performance as they carry out their strategies.

B) Outline the necessary corrective actions you want them to take. Discuss this outline and incorporate their ideas but see that they implement your corrective action plan. Track their performance.

C) Tell them about the drop in performance. Ask them to analyze the problem and draft a set of action steps for your approval. Set a deadline for the plan. Track its implementation.

D) Outline and direct the necessary corrective actions you want them to take. Define roles, responsibilities and standards. Frequently check to see if their performance is improving.

SCIENCE

B) Let her know that she is submitting inaccurate and incomplete reports. Ask her to set and meet her own paperwork deadlines. Give her more time to do the job properly. Monitor her performance.

C) Let her know that she is submitting inaccurate and incomplete reports. Ask her what she plans to do about it. Help her develop a plan for solving her problems. Monitor her performance.

D) Let her know that she is submitting inaccurate and incomplete reports. Specify the steps she should take with appropriate deadlines. Show her how to complete the reports. Monitor her performance.

20 You have noticed that one of your inexperienced employees is not properly completing certain tasks. She has submitted inaccurate and incomplete reports. She is not enthusiastic about this task and often thinks paperwork is a waste of time. You would

A) Let her know that she is submitting inaccurate and incomplete reports. Discuss the steps she should take and clarify why these steps are important. Ask for her suggestions, but make sure she follows your general outline.

APPENDIX D

LPI

KOUZES/POSNER

LEADERSHIP PRACTICES INVENTORY: SELF

On the next three pages are thirty descriptive statements about various leadership behaviors and activities. Please read each statement carefully, then rate **yourself** in terms of **how frequently** you engage in the practice described.

Record your responses by drawing a circle around the number that corresponds to the frequency you have selected. You are given 10 choices:

- 1-2 If you ***ALMOST NEVER*** or ***RARELY*** do what is described in the statement, circle the number one or the number two.
- 3-4 If you do ***SELDOM*** or ***ONCE IN A WHILE*** do what is described in the statement, circle the number three or the number four.
- 5-6 If you ***OCCASIONALLY*** or ***SOMETIMES*** do what is described, circle the number five or the number six.
- 7-8 If you ***FAIRLY OFTEN*** or ***USUALLY*** do what is described in the statement, circle the number seven or the number eight.
- 9-10 If you do what is described ***VERY FREQUENTLY*** or ***ALMOST ALWAYS***, circle the number nine or the number ten.

In selecting the response, please be realistic about the extent to which you actually engage in each behavior. Do not answer in terms of how you would like to see yourself or in terms of what you **should** be doing. Answer in terms of how you typically behave. There are exceptions, but on most days, on most projects, and with most people, how do you behave?

For example, the first statement is: "I see out challenging opportunities that test my own skills and abilities." If you believe you do this "*once in a while*," circle the number 4. If you believe you do this "*fairly often*," circle the number 7; or, if you believe you "*usually*" see out challenging opportunities, circle the number 8. Remember, this assessment will be most useful to the extent that you are thoughtful and candid with yourself.

To what extent would you say you **typically** engage in the following actions and behaviors? **CIRCLE** the number that best applies to each statement about you, using the 10-point scale below:

1 Almost Never	3 Seldom	5 Occasionally	7 Fairly Often	9 Very Frequently
2 Rarely	4 Once in a While	6 Sometimes	8 Usually	10 Almost Always

=====

1. I seek out challenging opportunities that test my own skills and abilities.

1 2 3 4 5 6 7 8 9 10

2. I talk about future trends that will influence how our work gets done.

1 2 3 4 5 6 7 8 9 10

3. I develop cooperative relationships among the people I work with.

1 2 3 4 5 6 7 8 9 10

4. I set a personal example of what I expect of others.

1 2 3 4 5 6 7 8 9 10

5. I praise people for a job well done.

1 2 3 4 5 6 7 8 9 10

6. I challenge people to try out new and innovative approaches to their work.

1 2 3 4 5 6 7 8 9 10

7. I describe a compelling image of what our future could be like.

1 2 3 4 5 6 7 8 9 10

8. I actively listen to diverse points of view.

1 2 3 4 5 6 7 8 9 10

9. I spend time and energy on making certain that the people I work with
adhere to the principles and standards that we have agreed upon.

1 2 3 4 5 6 7 8 9 10

Please continue to the next page

10. I make it a point to let people know about my confidence in their abilities.

1 2 3 4 5 6 7 8 9 10

11. I search outside the formal boundaries of my organization for innovative ways to improve what we do.

1 2 3 4 5 6 7 8 9 10

12. I appeal to others to share an exciting dream of the future.

1 2 3 4 5 6 7 8 9 10

13. I treat others with dignity and respect.

1 2 3 4 5 6 7 8 9 10

14. I follow through on the promises and commitments I make.

1 2 3 4 5 6 7 8 9 10

15. I make sure that people are creatively rewarded for their contributions to the success of our projects.

1 2 3 4 5 6 7 8 9 10

16. I ask "what can we learn?" when things do not go as expected.

1 2 3 4 5 6 7 8 9 10

17. I show others how their long-term interests can be realized by enlisting in a common vision.

1 2 3 4 5 6 7 8 9 10

18. I support the decisions people make on their own.

1 2 3 4 5 6 7 8 9 10

19. I am clear about my philosophy of leadership.

1 2 3 4 5 6 7 8 9 10

20. I publicly recognize people who exemplify commitment to shared values.

1 2 3 4 5 6 7 8 9 10

Please continue to the next page....

1 Almost Never	3 Seldom	5 Occasionally	7 Fairly Often	9 Very Frequently
2 Rarely	4 Once in a While	6 Sometimes	8 Usually	10 Almost Always

=====

21. I experiment and take risks even when there is a chance of failure.

1 2 3 4 5 6 7 8 9 10

22. I am contagiously enthusiastic and positive about future possibilities.

1 2 3 4 5 6 7 8 9 10

23. I give people a great deal of freedom and choice in deciding how to do their work.

1 2 3 4 5 6 7 8 9 10

24. I make certain we set achievable goals, make concrete plans, and establish measurable milestones for projects and programs we work on.

1 2 3 4 5 6 7 8 9 10

25. I find ways to celebrate accomplishments.

1 2 3 4 5 6 7 8 9 10

26. I take initiative to overcome obstacles even when outcomes are uncertain.

1 2 3 4 5 6 7 8 9 10

27. I speak with genuine conviction about the higher meaning and purpose of our work.

1 2 3 4 5 6 7 8 9 10

28. I ensure that people grow in their jobs by learning new skills and developing themselves.

1 2 3 4 5 6 7 8 9 10

29. I make progress toward goals one step at a time.

1 2 3 4 5 6 7 8 9 10

30. I give members of the team lots of appreciation and support for their contributions.

1 2 3 4 5 6 7 8 9 10

APPENDIX E
STATISTICAL METHODOLOGY

The statistical methodology employed in this Dissertation to analyze the data was performed using SPSS-PC (version 6.0). The types of statistics used were: multiple regression, ANOVA, chi-square, and t tests. All of the significant findings were reported in the Dissertation (Chapters IV and V). This appendix contains those results as well as data on non-significant findings. A brief description of the statistical analysis precedes the tables.

Multiple Regression

The purpose of multiple regression is to measure the effects of several factors simultaneously upon a dependent variable. Multiple regression allows an investigation to predict or determine relationships among variables. Regression coefficients indicate how much the dependent variable changes as the independent variable changes and to specify the relative influence of each independent variable in the regression equation.

The dependent variables in the following tables are often abbreviated; following is an explanation for each abbreviation used:

Style 1:	High Directing, Low Supporting (LB AII)
Style 2:	High Directing, High Supporting (LB AII)
Style 3:	High Supporting, Low Directing (LB AII)
Style 4:	Low Supporting, Low Directing (LB AII)

Challenge:	"Challenging the Process"	(LPI)
Vision:	"Inspiring a Shared Vision"	(LPI)
Enabling:	"Enabling Others to Act"	(LPI)
Modeling:	"Modeling the Way"	(LPI)
Heart:	"Encouraging the Heart"	(LPI)
Security/		
Treatment/		
Management/		
Other Career:	Prior career experience in either field.	
Flexibility:	An indication of how often a different style is used by the individual (LBAII)	
Effectiveness:	An indication of how appropriate the chosen style is in the situation (LBAII)	

Multiple regression was conducted by a step-wise technique with demographic (age, education, race, and gender), situational (institutional size and security level), and career experiences (proportion of career in security, treatment, management, and "other" positions) as the independent variables for each of the dependent variables indicated above. As shown in Table 9, the multiple regressions did not indicate many significant relationships between the variables.

The table below summarizes the results of multiple regression on the survey data, and indicates which variables

were significant. An alpha level of .05 was used for all statistical tests.

Table 9

Variables Indicated as Significantly Related to Specific Dependent Variables by Step-wise Regression

Variable:	DV:	R²:	SE:	F:	Sign.F:
Age	Style 1	.128	2.182	6.067	.018
Security	Style 3	.118	3.261	5.523	.023
Management	Style 3	.094	3.306	4.286	.044
Security Career	Style 4	.113	2.082	5.261	.027
Management Career	Challenge	.181	5.478	8.861	.004
Management Career	Vision	.215	6.237	10.974	.002
Management Career	Modeling	.1184	4.090	5.373	.025
Management Career	Heart	.127	4.880	5.840	.020
Treatment Career	Challenge	.280	5.200	7.610	.001

(Source: LPI and LBAII Self results, 1997)

ANOVA

Analysis of Variance is a statistical analysis often used when independent variables with two or more values are studied. ANOVA, used to determine differences between means, is an overall test of the null hypothesis that there

is no difference between the variables in question. A special case of ANOVA consists of a t test, which is designed to test two separate groups; t tests whether the difference between the means of the two groups is significant. ANOVA cannot prove directly that there are differences among groups; it can only prove the groups aren't the same. Means, standard deviations, and standard error of means are computed in ANOVA. The tables below summarize the results of ANOVA on the survey data.

Table 10

Variables Indicated as Significantly Related to Specific Dependent Variables by ANOVA

Variable:	Mean:	SD:	SE of mean:
SIZE with Style 1:			
<300 beds:	2.210	1.718	.394
+300 beds:	3.200	2.598	.520
SIZE with Style 2:			
<300 beds:	4.947	2.272	.521
+300 beds:	5.040	2.806	.561
SIZE with Style 3:			
<300 beds:	9.000	3.528	.809
+300 beds:	7.040	3.323	.665
<p style="text-align: center;">* Two-tailed significance = .066 (High supp/Low directing found in smaller institutions).</p>			
SIZE with Style 4:			
<300 beds:	4.368	2.140	.491
+300 beds:	4.520	2.220	.444

Table 10 (Continued)

Variable:	Mean:	SD:	SE of mean:
SIZE with Challenge:			
<300 beds:	42.722	5.443	1.283
+300 beds:	46.840	5.720	1.144
* Two-tailed significance = .022 (The larger the institution, the more "Challenging..." the warden).			
SIZE with Vision:			
<300 beds:	43.166	6.741	1.589
+300 beds:	46.480	6.771	1.354
SIZE with Enabling:			
<300 beds:	49.117	3.180	.771
+300 beds:	50.000	5.553	1.111
SIZE with Modeling:			
<300 beds:	50.055	3.765	.887
+300 beds:	51.600	4.822	.964
SIZE with Heart:			
<300 beds:	47.555	5.102	1.202
+300 beds:	48.680	5.162	1.032
SIZE with Security Career:			
<300 beds:	.233	.259	.059
+300 beds:	.168	.217	.043
SIZE with Treatment Career:			
<300 beds:	.187	.210	.048
+300 beds:	.190	.164	.033

Table 10 (Continued)

Variable:	Mean:	SD:	SE of mean:
SIZE with Management Career:			
<300 beds:	.384	.153	.035
+300 beds:	.491	.136	.027
* Two-tailed significance = .021 (Previous career in management found in larger institutions).			
SIZE with Other Career:			
<300 beds:	.194	.224	.051
+300 beds:	.148	.117	.023
SIZE with Flexibility:			
<300 beds:	19.368	4.740	1.087
+300 beds:	20.120	4.314	.863
RACE with Style 1:			
Black:	2.923	2.431	.674
White:	2.575	2.264	.394
RACE with Style 2:			
Black:	5.846	2.304	.639
White:	4.727	2.565	.447
RACE with Style 3:			
Black:	7.615	3.355	.931
White:	8.030	3.566	.621
RACE with Style 4:			
Black:	3.769	1.235	.343
White:	4.757	2.450	.426
RACE with Challenge:			
Black:	47.692	4.939	1.370
White:	44.500	6.164	1.090

Table 10 (Continued)

Variable:	Mean:	SD:	SE of mean:
RACE with Vision:			
Black:	48.076	4.271	1.185
White:	44.062	7.304	1.291
* Two-tailed significance = .028 (Black wardens tend to score higher on "Inspiring a Shared Vision").			
RACE with Enabling:			
Black:	51.384	4.992	1.385
White:	49.225	4.522	.812
RACE with Modeling:			
Black:	53.153	4.741	1.315
White:	50.531	4.414	.780
RACE with Heart:			
Black:	51.000	4.830	1.340
White:	47.625	5.259	.930
* Two-tailed significance = .052 (Black wardens tend to score higher on "Encouraging the Heart").			
SEX with Style 1:			
Female:	2.272	2.687	.810
Male:	2.800	2.180	.369
SEX with Style 2:			
Female:	4.818	2.442	.736
Male:	5.114	2.576	.435
SEX with Style 3:			
Female:	9.181	3.219	.971
Male:	7.514	3.501	.592
SEX with Style 4:			
Female:	3.909	1.375	.415
Male:	4.657	2.400	.406

Table 10 (Continued)

Variable:	Mean:	SD:	SE of mean:
SEX with Challenge:			
Female:	45.454	6.548	1.974
Male:	45.411	5.868	1.006
SEX with Vision:			
Female:	46.181	6.337	1.911
Male:	44.911	6.978	1.197
SEX with Enabling:			
Female:	52.700	3.268	1.033
Male:	49.029	4.783	.820
* Two-tailed significance = .011 (Female wardens tend to score higher on "Enabling Others to Act").			
SEX with Modeling:			
Female:	53.545	5.106	1.540
Male:	50.558	4.272	.733
SEX with Heart:			
Female:	51.363	5.537	1.669
Male:	47.705	5.000	.858
* Two-tailed significance = .046 (Female wardens tend to score higher on "Encouraging the Heart").			
SEX with Security Career:			
Female:	.069	.189	.057
Male:	.257	.242	.041
* Two-tailed significance = .014 (More male wardens have previous background in security).			

Table 10 (Continued)

Variable:	Mean:	SD:	SE of mean:
SEX with Treatment Career:			
Female:	.327	.153	.046
Male:	.135	.168	.028
* Two-tailed significance = .002 (More female wardens have previous background in treatment).			
SEX with Management Career:			
Female:	.411	.142	.043
Male:	.451	.155	.026
SEX with Other Career:			
Female:	.191	.187	.056
Male:	.155	.165	.028
SEX with Flexibility:			
Female:	18.545	3.671	1.107
Male:	20.085	4.668	.789

(Source: LPI and LBAIL Self Results, 1997)

Correlations were also performed on the data; a correlation matrix with some results are provided in the following table:

Table 11

Correlation Coefficients between Selected Variables

Variables:	Correlation coefficients:
Effectiveness with Security Career:	-.1770
Effectiveness with Treatment Career:	.1600
Effectiveness with Management Career:	-.0153
Effectiveness with Other Career:	.0942
Effectiveness with Challenge:	.1626
Effectiveness with Vision:	.1663
Effectiveness with Enabling:	.1142
Effectiveness with Modeling:	-.0596
Effectiveness with Heart:	-.0107
Effectiveness with LPI:	.0988
Effectiveness with Education:	-.1053
Effectiveness with Age:	.1223

(Source: LPI and LBAII Self Results, 1997)

Other statistical tests in addition to the tables presented above included chi-squares and correlations. Since the variable "Effectiveness" was an important score on

the LBAII-Self test, this variable was included in a one-way ANOVA against several other variables. The results are provided in the following table:

Table 12

Effectiveness as an Independent Variable: ANOVA Analysis

Independent Variables:	F Probability:	Significant?
Effectiveness with Size:	.096	NO
Effectiveness with Security:	.529	NO
Effectiveness with Sex:	.054	NO
Effectiveness with Race:	.213	NO
Effectiveness with Region:	.270	NO

(Source: LPI and LBAII Self Results, 1997)

Autobiographical Statement

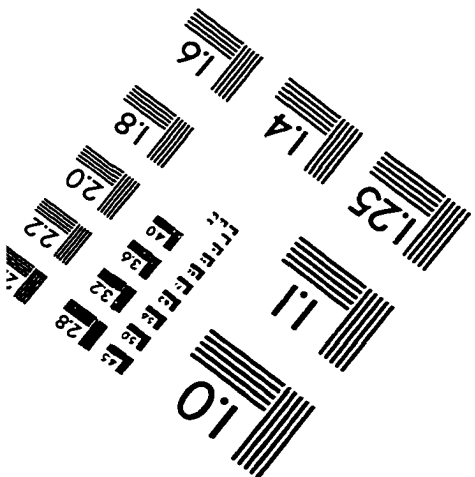
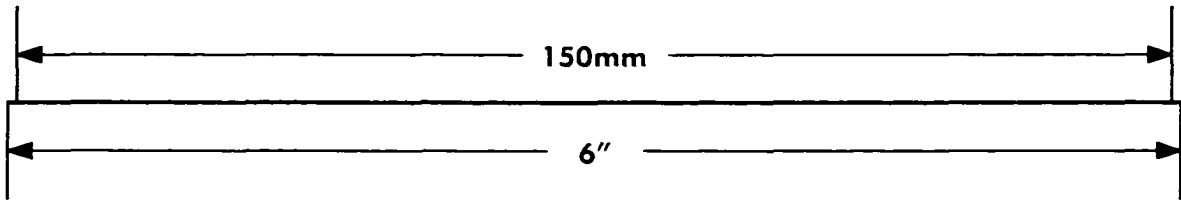
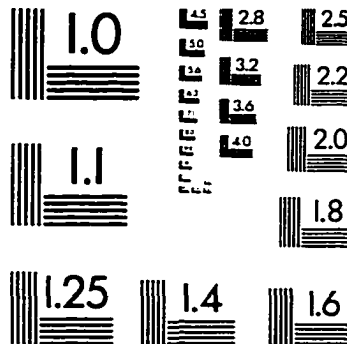
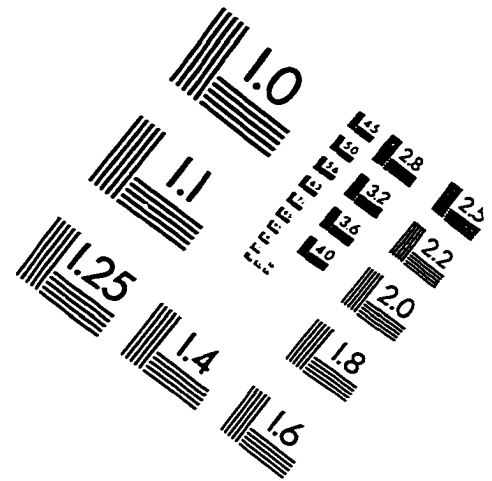
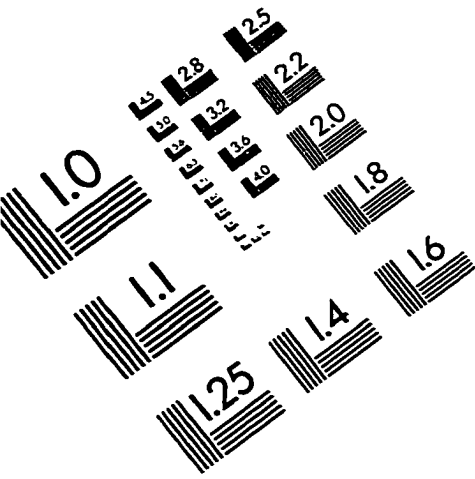
Personal Data: Nancy Elizabeth Zender, born in Wausau, Wisconsin, September 27, 1960; fourth of five children born to Frederick R. Zender and Angelina E. Zender (Fantasia); married Santiago "Chico" Santiago, September 13, 1991; two sons--Angel Valentino and Jesse Valentino Santiago.

Education: Wausau West High School, WI., 1978; Associate of Arts degree, University of Wisconsin--Marathon Center, 1980; Bachelor of Arts Degree, (Psychology), University of Wisconsin--Eau Claire, 1983; Masters of Arts Degree, (Psychology), University of Missouri--Kansas City, 1986; Masters of Public Administration/Health Services, University of Missouri--Kansas City, 1987; Doctor of Philosophy in Urban Services, Old Dominion University, Norfolk, VA., 1998.

Internships: Observed and evaluated classroom training for police and correctional officers, including a "Cultural Diversity" class; Hampton Roads Regional Academy of Criminal Justice, Hampton, VA., January, 1994 - May, 1994.

Professional: Adjunct professor of Psychology since 1992; currently a Professor of Psychology and Criminal Justice, St. Leo's College, Langley Air Force Base, Hampton, VA.

IMAGE EVALUATION TEST TARGET (QA-3)



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1653 East Main Street
Rochester, NY 14609 USA
Phone: 716/482-0300
Fax: 716/288-5989

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